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ABSTRACT

Aimed at both practicing administrators and university education professors, this book discriminates among certain "E-words" ("effective," "efficient," "excellent," and "empowerment") in the educational reform lexicon. According to the introductory chapter, levels of effectiveness, efficiency, and excellence operate as interrelated factors within the school's social system. The truly effective elementary principal factors both efficiency and effectiveness into identifying, prioritizing, and measuring a school's accomplishments. The second chapter presents a tri-dimensional view of effective school site decision-making dependent on the school's instructional, political, and economic microsystems. The principal's job is to balance the legitimate demands of these microsystems. Chapter 3 summarizes research on effective schools, principals, and school districts. Chapter 4 examines perspectives on the principal's instructional leadership role and advances a holistic approach to instructional leadership. Chapter 5 outlines a three-step process for improving administrative effectiveness: (1) identifying educational outcomes; (2) identifying ways to measure outcomes; and (3) monitoring processes used to accomplish the identified outcomes. Chapter 6 discusses empowerment for effectiveness, and the final chapter provides mnemonic devices for pursuing effectiveness. Each chapter contains numerous references. (MLH)

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The Effective Elementary School Principal

The Effective Elementary School Principal

by

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To the Reader

In the music industry, when a song appears on more than one categorical music chart it is called a "cross-over." When people whose preferred listening category is "easy listening," find enjoyment in a country song, it's a "cross-over." Certainly, when such an event occurs it is a plus for the performers and for the producers. Both groups will be receiving the financial benefits that accrue from increasing the size of the listening and buying audience. From an artistic perspective, having a "cross-over" may increase the types and number of songs offered to the performer and the producers may find a new market.

In this book, we have attempted to create in our world of school administration a "cross-over" volume. We have sought to appeal to two often radically different audiences. First, we wanted the content and the writing style to be ones that would appeal to the inservice administrator—the individual whose daily routine is filled with almost continuous, rapid short-term interactions with people. Such individuals have little or no time in their daily routine to stop, clear their minds and concentrate on long-term goals and objectives. They are often eager to foster their professional development, but lament that long, detached periods of reading, thinking and connecting are an ambition, not a reality.

Our second targeted audience is our university colleagues—individuals working in an environment

which has as major objectives reading, thinking, connecting, and creating knowledge. These individuals, in their work with preservice and inservice administrators, strive for enlightenment. Their ultimate goal is to assist their students in retrieving and using knowledge.

We have tried to serve both audiences by creating a book with a reading style that will allow some good to come from reading as time permits. We have also attempted to include content that will encourage our colleagues to view this work as worthy of their attention and that of their students. After many rewrites and several shifts in focus and content, we submit our "cross-over" volume for your consideraton. We are hopeful that in trying to serve two audiences we have not committed the ultimate error of serving none. It is with guarded confidence and much enthusiasm that we present this work.

One
What Does It Mean To Be Effective?

Introduction

"To be reasonably effective it is not enough for the individual to be intelligent, to work hard or to be knowledgeable. Effectiveness is something separate, something different."
(Drucker, 1967, p. vii)

The focus of this book is effectiveness. Within these pages we have attempted to identify this "something" to which Drucker refers. We have tried to pull together a variety of sources in shaping our definition and description of effectiveness. The concept of effectiveness has garnered a great deal of attention in the field of education in the last decade. Much writing and research have accumulated focusing on issues of effective classrooms, effective schools and, most recently, effective principals. DeRoche (1987) refers to effective as "the word of the decade in education." (p. 1).

Although effectiveness in education might be aptly described at this time as a "buzz-word," it has long been in existence...quietly working its way into classrooms, schools and school districts throughout the nation. Additionally, other fields have researched, written about, and given energy to the study of effectiveness from their vantage points. Operating from the premise that effectiveness is important in any endeavor, we have sought to bring together some of the best knowledge available from a variety of perspectives. Since at least from the 1940s, education and schooling have been greatly influenced by the larger societal context. We would be hard-pressed to identify any facet of society that does not have some kind of symbiotic relationship with the schools. Medicine has had such a relationship in such areas as brain research, immunization, and current policy development dealing with AIDS education. Economics has interfaced with the insistence for educational effectiveness in terms of securing adequate school funding and in the current concern that improvement of our schools will be the greatest single factor in maintaining our nation's position as a viable competitor in the world market. Wherever information, knowledge and wisdom about effectiveness was found, we have made an effort to use those sources for the benefit of the reader.

Drucker (1967) declared that effectiveness *can be learned.* These words are encouraging, since two major reasons for writing about the effective elementary school principal are to identify the components of effectiveness and to encourage the development of individuals to

become increasingly effective. To believe that effectiveness can be learned motivates us to find out more about it and to begin developing knowledge, skills, practices and habits that increase it.

What follows is a discussion of three terms important for establishing the perspectives taken in this book—effectiveness, efficiency, and excellence. From our research and experience we present a definition of the effective elementary school principal; we note the reciprocal relationship between effectiveness and efficiency; and finally we relate the generally desired state of excellence to our primary focus of effectiveness.

Differentiating Among The "E-Words"

"Effective," efficient" and "excellent" are all being used with increasing frequency in the literature regarding public school education. A fourth "E-word," "empowerment," has also received increased usage. We shall discuss the first three here in an attempt to make our use of these terms clearer. "Empowerment" will be discussed at length in Chapter Six.

What Does It Mean To Be "Effective"?

The common definition of "effectiveness" is "producing a decided, decisive, or desired effect." And what is an "effect"? Common synonyms are: "result," "consequence," "event," "issue" and "outcome." When one effects something, he/she produces or accomplishes something.

Further implications for effectiveness can be found in the writings of numerous scholars. Chester I. Barnard (1938) stated effectiveness is achieving the goals of the organization, i.e., the extent to which those goals are achieved. In addition to identifying "effectiveness" as something special, Drucker (1967) noted that effectiveness "...demands 'doing' certain —and fairly simple—things" (p. vii). He identified one characteristic of the effective executive as getting "the right things done" (p. 1). Bennis and Nanus (1985) described leaders as "...people who do the right thing" (p. 21) and summarized effectiveness as activities of vision and judgment. DeRoche (1987) defined effectiveness as "...how well something is being done and at what cost in time, energy, [and] money..." (p.6).

Looking at these sources, one would be hard pressed not to want to be effective. Surely, as we contemplate the role of the elementary school principal, a desire to achieve organizational goals, to do the right things, and to engage in activities of judgment and vision are desirable. Note that by analyzing the content of these commentaries on effectiveness, some distinct elements appear.

First is accomplishment. Merely engaging in activity will not earn the elementary principal the descriptor of "effective." The activity must lead to results, consequences and/or outcomes. Second, the implication is that these accomplishments are not random in nature. They are, according to Barnard, Drucker, and Bennis & Nanus, the "right things." The effective elementary principal will demonstrate

discrimination concerning the myriad possible effects to pursue. Next, DeRoche's definition of effectiveness contains a quality component. It includes reinforcement of accomplishments by referring to "something being done." However, he goes on to add a quality measurement by using the criterion of "how well." Finally, an active rather than passive mode of operation is evident. Use of the terms "producing," doing" and "do," all denote activity. Combining these identified elements of priority, accomplishment, quality and activity have assisted us in formulating our definition of the effective elementary school principal. For our purposes, the effective elementary school principal is the officially designated administrator/leader of a school comprising one or more grade levels of the K-8 continuum who: *1) has identified and prioritized specific measurable educational outcomes desired for the school, and 2) can demonstrate empirically the extent to which those prioritized goals have been achieved within a specified time schedule.*

In the literature referred to as the "effective schools research" a somewhat narrower definition is generally proposed. The "effective principal" is defined within the context of the school and "effective schools" are generally identified through student achievement as measured by nationally normed tests. Our definition of the effective elementary principal includes but is not limited to that generally described in the "effective schools" literature.

We have reviewed some of the "effective schools" literature in Chapter Three. More than a decade of

writing and research has now accumulated. This literature has been very influential in guiding the behavior of contemporary educators and politicians. Possessing a working knowledge of this information is essential for any school leader intending to increase his/her effectiveness.

You will find that using student achievement results as measured by standardized tests will be advocated throughout this book. However, we believe that test scores alone should not be the only measure of effectiveness. We insist that if the term" effective" is to be used, specific accomplishments/outcomes must be identified and demonstrated. Accomplishments/ outcomes for the school may be cognitive, affective, psychomotor, or some combination of these. The basic requirements are that these accomplishments/outcomes have been identified and some measurement of the degree of their achievement is available.

What Does It Mean To Be Efficient?

Barnard (1938) differentiated between effectiveness and efficiency. Essentially, he asserted that effectiveness is the extent to which the goals of the organization are achieved and efficiency is the sense of personal well-being derived by members of the organization from their participation therein.

For Drucker (1967), effectiveness is "getting the right things done" while efficiency is "getting things done right." Bennis and Nanus (1985) attached their definitions of these terms to a discussion of leadership.

In differentiating between leaders and managers, they stated, "Managers are people who do things right and leaders are people who do the right things. The difference may be summarized as activities of vision and judgment—effectiveness versus activities of mastering routines—efficiency" (p. 21).

A common example of doing the right things vis-a-vis doing things right in education would be covering material. In classrooms across the country, teachers and students press to "finish the book." Classrooms where the number of days in school and the pages in the book come out even are good examples of doing things right. They have been very efficient in the coverage of material for the grade level or subject. But, was "finishing the book" the right thing to do? Is that the result intended? Or was learning of specific concepts the desired result whether the book was completed or not? Principals, teachers and students can become very efficient at covering material without being very effective in learning concepts.

DeRoche (1987) also used comparatives in discussing efficiency. He defined efficiency by differentiating it from effectiveness. As noted earlier, effectiveness referred to describing "how well something is being done and at what cost in time, energy and money." He asserted that efficiency refers to "how it is being accomplished while preserving personnel worth" (p. 6).

Barnard and DeRoche both relate efficiency to the feelings and reactions of personnel in bringing about identified effects. Drucker, as well as Bennis and Nanus,

imply efficiency deals with modes of operation. The definitions given indicate components of time, i.e., "immediately effecting" and of use of resources, i.e., "productive of desired results; esp.: productive without waste." Frederick Taylor (1947) said efficiency was achieving the greatest amount of production (output) at the lowest possible cost.

Our writing focuses on "effectiveness." However, we want to acknowledge a common and oft-times reciprocal relationship between the terms "effectiveness" and "efficiency." The effects or accomplishments need to be defined and pursued within the limitations of positive concern for those involved in the process and a judicious use of limited resources available.

The truly effective elementary principal will factor both efficiency and effectiveness into identifying, prioritizing, and measuring the accomplishments/ outcomes of the school.

What Does It Mean To Be Excellent?

"Excellence" is what we all want. To be excellent is to be superior or "first class." Fantini observes that even though we all want excellence, we are often hard-pressed to define it. In his *Regaining Excellence in Education* (1986) he created a formula containing five components as a way of defining excellence: quality, equality, effectiveness, efficiency and participation. He stated, "Excellence will be achieved when we are able to offer quality to the most students, in the most productive

and economical form, while utilizing both the substantive and procedural dimensions of democratic participation" (p. 44).

Fantini's formula for excellence is important to this work on the effective elementary principal. Effective elementary principals, like everyone else, want excellence for their schools. However, these principals also recognize that given Fantini's "key ingredients," excellence will not occur without effectiveness, efficiency and participation (empowerment). The three conditions are parts of the whole. If excellence is to be attained, then among the first conditions needed to be achieved will be effectiveness.

Summary

The "E-words"—effectiveness, efficiency, and excellence—deserve the distinct focus that each has received through the discussions in this chapter. Now we want to move from an analytical lens discussion of effectiveness to one that synthesizes the effective school as an organization.

Effectiveness, efficiency and excellence were each used to assist in the definitions and discussions of the others. The levels of effectiveness, efficiency and excellence operate as interrelated factors within the social system we call the school. Because schools are open social systems, it is important that we acknowledge the reciprocal relationships between the school and the larger social context. As pointed out by Hoy and Ferguson (1985), organizational effectiveness is a complex and difficult problem that is multidimensional.

The next chapter is devoted to a discussion of how the larger social context influences the operation of the school as an effective organization.

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Two
A Tri-Dimensional View Of Effective School Site Decision-Making

Introduction

Traditionally, the school has been defined as a rather idealistic social institution set apart from the more mundane aspects of the society it serves. Although John Dewey (1916) and followers of his Progressivist thought sought to immerse the school in simulations of daily operations of society, and George Counts (1932) and others expanded that approach into the philosophy of educational reconstructionism, by and large American society has perceived the school as something of an intellectual/developmental "temple" to be preserved from the more "worldly" operational aspects of our society in such realms as economics and politics.

The Traditional View

When interaction with such forces was noted, the general tendency was to perceive it in terms of those "outside" elements encroaching upon the "temple" of education; as the cradle of our nation's future, the schools were to be protected from contamination by

such extraneous forces. Many of us remember vividly the long-held ideal of a public school system "free of politics," i.e., immune to the normal functioning of other governmental agencies. In similar manner, it was held for many years that mundane concern with earning a reasonable return on investment had no place in the realm of public education. Even non-public schools typically espoused a "not-for-profit" status as part of their credo.

A Different View

In contrast to those earlier views, we advance here the position that any school, and *especially* the public school, must be re-defined operationally to include a much broader scope of integral activity than simply the teaching-learning function which is its unique and logical focus. Proper attention must be given to the legitimate operation of economic and political factors within the school if we are to address adequately the key issue of administrative effectiveness at the school site.

Since 1978, Emett Burnett of the Xavier University of Louisiana Graduate School has been developing the concept of a tri-dimensional decision-making process as it operates in schools. This construct was originally advanced by Burnett as a key to unlocking the mysteries of the school system decision-making process. In 1986, Louis Miron and Burnett used this holistic approach to analyze educational policy formation in state governance of public education in Louisiana (Miron & Burnett, 1986). They came to the conclusion that many

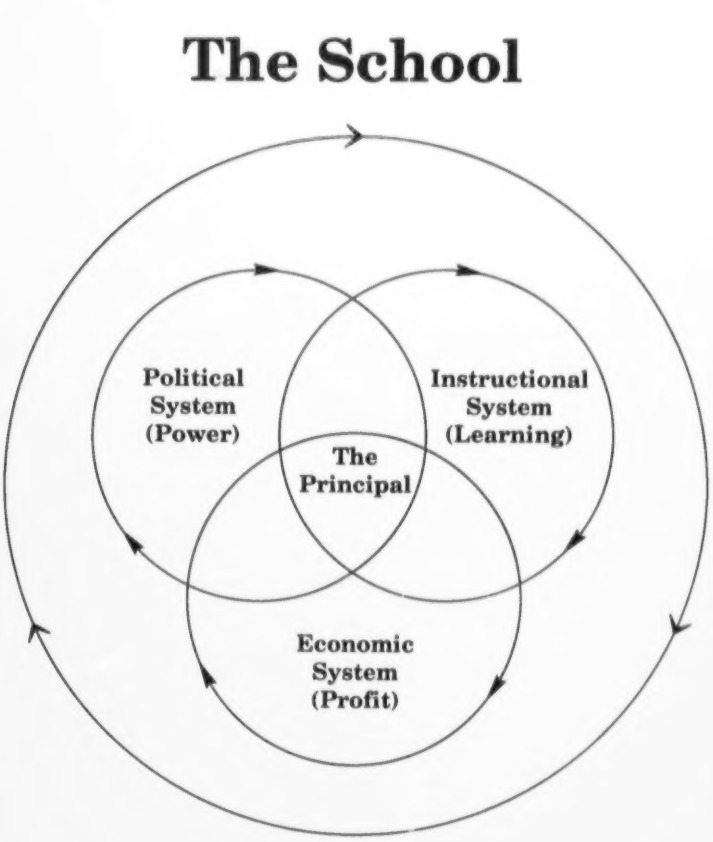
state governance decisions were based upon a coalescence of primarily political and economic motives which overrode the instructional considerations involved.

Burnett's Holistic Model Of The School Site Decision-Making Process

Miron and Burnett pointed out that this approach to understanding educational decision-making could be applied at any level of the educational system. Burnett (1988) proceeded to apply it to the individual school in an article published in the *National Forum of Educational Administration & Supervision Journal.* In the later article, Burnett utilized his original concept of the school as focused upon, but not limited to, its instructional system. He visualized each school as comprising three distinct intertwined operational microsystems: instructional, political, economic.(See Fig. 2-1)

Conceptually, Burnett starts from the position of Chester I. Barnard (1938) that anyone dealing with an enterprise is in fact a member of that organization, as both the needs of individuals and the organization's continued existence are dependent upon mutually beneficial cooperation. By extension, according to Burnett, all persons interacting with a school are *de facto* members of that school and necessarily influence its decision-making process.

Figure 2-1: An Holistic Approach to School Site Decision-Making



Burnett, I. E., Jr. An holistic approach to school site decision-making. National Forum of Educational Administration and Supervision Journal, 5(2), p. 129. Reprinted by permission of publisher.

In Figure 2-1, the school is represented in the outer circle in the paradigm. Its decision-making process is conceived as driven by the interactive forces generated by all three of the enclosed microsystems: instructional, political, economic. All three microsystems are seen as internal to the school. They are mutually interactive, affecting each other as they transfer their particular dynamic forces to the school. The energy released through their interaction drives the overall decision-making process of the school. It is essential to note that the principal occupies the most strategic position to channel these diverse forces effectively; he/she is situated precisely where the three microsystems overlap and interact.

A brief look at how each microsystem operates and its significance to the principal's efforts to manage the school effectively will help clarify this somewhat complex view of how a school reaches significant decisions within its particular milieu.

The Instructional Microsystem

The proper function of the instructional microsystem is to facilitate maximum learning by every student served by the school. This is what we mean by educational effectiveness. The very *raison d' etre* for the school's existence is embodied in the instructional microsystem; therefore, it is the proper focal point of the school's operation and the most important of the three microsystems.

The effectiveness of the instructional microsystem depends upon specialized professional educational functions performed within the school. Examples include instructional program planning, delivery of instruction, and evaluation of learning outcomes. If each student is to receive optimal learning experiences, control of pedagogical functions must reside in the school's professional educational staff under the leadership of the principal.

The Political Microsystem

If delivery of effective instruction is the proper focus of the school's work and control of the instructional microsystem must therefore be vested in the school's professional educational staff led by the principal, how are students, their families, and various affected interest groups to have effective impact upon the development of the school's educational goals, priorities, and programs? One frequently hears that our contemporary public schools are not fostering such dialogue effectively. A recent Gallup Poll of the Public's Attitudes Toward the Public Schools reported that public school parents felt they should have more input concerning curriculum and the selection of instructional materials and library books (Gallup & Clark, 1987). The same poll reported that only 25% of those parents felt well-informed about their local schools.

It is our position that relevant concerns of interested laypersons must be legitimized in the public school decision--making process. Critical and volatile

issues such as the pressing need for effective and acceptable sex education programs and the efforts of religious fundamentalists to modify curricula emerge within the political microsystem. By providing the arena within which such power struggles occur, the political microsystem provides the broad access to the school's decision-making process essential to a democratic society.

In short, the on-going search for power that characterizes the operation of the political microsystem ensures that our public schools not become enclaves of elite professional cadres giving the people served by the schools "what is best for them"—whether they like it or not. The operation of this microsystem is critical to the effectiveness of any school and should not be resented as "outside intrusion" in the affairs of the "temple of education."

The Economic Microsystem

The proper function of the economic microsystem is to ensure the school an adequate supply of the educational products and services it needs to carry out an effective educational program for its students. Because the economy of the United States is rooted deeply in the competitive enterprise ethic, operation of the economic microsystem within the school necessarily involves continuous search for private profit to be earned by supplying needed educational goods and services. Adam Smith, the founder of the science of economics,

pointed out in his *Wealth of Nations* (1776) that the natural human desire for profit, properly channeled, provides the greatest possible quantity, quality, and variety of useful products and services at the lowest possible cost. This principle of economic effectiveness applies even to today's "temple" of education. The authors of this book are constantly amazed to note the resentment voiced by some educators concerning legitimate profit earned by providers of essential educational products and services.

In the school, this search for profit takes a variety of forms. The teacher seeking to be placed on an "overtime" supplementary pay assignment is seeking profit no less than the textbook salesperson attempting to convince the principal and faculty to adopt his/her product. Both of these efforts are in themselves legitimate within the operation of the school's economic microsystem as long as appropriate ethics are observed.

The essential point is that the profit motive plays an indispensable part in causing individuals and corporations to provide products and services needed by schools in pursuit of their educational goals. Such goods and services have a necessarily competitive, and therefore reasonable price tag. Profits do not "taint" them. For a school to function effectively, a steady supply of educational products and services is essential. The competition involved, properly managed by the principal, ensures the greatest quantity, quality, and variety possible.

Of course, effective safeguards must be maintained against such dysfunction as undue intrusion

of the political search for power into the school's allocation of resources. The principal must study the operation of the economic microsystem in the school district and within the school and learn to direct its forces effectively so that learning opportunities are maximized for every student.

Interaction Of The Three Microsystems Within The School

This conceptualization is holistic in that it asserts that reaching an effective decision for the school necessarily involves accommodation among the school's instructional, political and economic microsystems. Instructional dysfunction must be guarded against. It occurs when the political and/or economic microsystems cease to be utilized in ways that maximize learning and instead secure their essential interests in ways that cause the instructional microsystem to offer less than optimal learning opportunities to the students.

It must also be stressed that great danger to the school's effectiveness lies in the instructional microsystem becoming too estranged from the political and economic factors operating within the school. Excessive distancing of the instructional micro-system can cause serious problems to arise within the political and/or economic microsystems, occasioning self-interest responses ultimately dysfunctional to the instructional microsystem.

Summary: The Role Of The Effective Principal In Managing The School's Decision-Making Process

We maintain that the principal's effective management of the diverse forces involved in this tri-dimensional interaction can result in the essential interests of all three microsystems being met simultaneously. Profit, power and learning are not necessarily mutually exclusive motives (Miron & Burnett, 1986).

As pointed out in this chapter, profit earned legitimately by providing a needed product or service of acceptable quality facilitates the delivery of effective instruction. Similarly, the power exchange that necessarily occurs within the political microsystem can often be managed by the principal in such a way that broadened awareness of instructional needs and wider involvement in the decision-making process strengthen both political and economic support for the school's insructional program. Roe and Drake (1980) have explained how a principal can actually increase his/her power by sharing it. It becomes a matter of riding the horse rather than squabbling over who gets to eat it!

Balancing the legitimate demands of the instructional, political and economic microsystems is an essential task for the effective elementary school principal. The expectation that such a balance can and does occur is embedded clearly in the "effective schools" research. Having set the conceptual stage upon which the principal must play the role, we now turn to a review of that literature.

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Three
Models For Consideration

Introduction

Over the years, the definition of effectiveness has been modified from the early writing on effective teaching, classrooms, schools and principals. In writing about the importance of district level policy and practice for effective schools, Cuban (1985) noted that "half a dozen methodologically identical studies have produced as many different definitions of effectiveness" (p. 27). It is our purpose here to review some of the literature that has addressed effectiveness in order to afford the reader a sense of the development of thinking in this area.

A logical place to start is 1966, which hearlded the appearance of the Coleman Study. Interpretations of the conclusions of the Coleman study provided a framework for the establishment of many attitudes and behaviors of educators in our schools today. We will then move on to a review of the effective schools research and literature, with particular emphasis on those reports that identify the significance of the principal's role. Finally, we will devote some time to the exploration of a more recent development in the effectiveness research—effective school districts.

The Coleman Study

This massive study was completed for the U.S. Office of Education by James Coleman, Ernest Campbell and a team of specialists representing the fields of sociology, statistics and educational research. It became commonly known as the Coleman Report. The population for the study included 600,000 students in grades 1, 3, 6, 9, 12 in some 4,000 schools across the country (Ornstein & Levine, 1981; Silberman, 1970; Good, Biddle, & Brophy, 1975). Data on the ability and achievement of the students were gathered through the administration of a battery of tests. Additional information was gathered about communities, the schools attended by the students, characteristics of the students, and information about their teachers and principals (Boocock, 1980).

The purpose of the study was to investigate how characteristics of the schools influenced the achievement of students. Common-sense expectations would have dictated that the findings would demonstrate that such things as the students' school attendance rates, the professional training of teachers, class size, currency of textbooks and other teaching materials and equipment, and the salary schedule for teachers would influence the level of student achievement.

However, the findings of this study did not support those expectations. An important finding was that when social class variables for students were controlled, the characteristics of the school appeared to have little effect on student achievement (Cole, 1979). Coleman and his

colleagues concluded that "the most important variable in or out of school remains the educational and social background of the child's family" (Ornstein & Levine, 1981).

A related study was conducted by Christopher Jencks (1972). Entitled, *Inequality,* the Jencks study included a re-analysis of the U.S. census figures, the Coleman Report, a national longitudinal study of more than one hundred high schools, plus several smaller studies (Ornstein & Levine, 1981). The influence of schools on the achievement of students was addressed in the conclusions of this work. "Our research suggests, however, that the character of a school's output depends largely on a single input, the characteristics of entering children. Everything else—the school budget, its policies, the characteristics of the teachers—is either secondary or completely irrelevant..." (Bane & Jencks, 1973, p. 9).

The conclusions from the studies by Coleman and Jencks were often misinterpreted to mean that "students do not learn in school" (Ornstein & Levine; 1981) or that "schools have 'no' effect on students' learning" (Silberman, 1970). Although this was not the case, such interpretations set the stage for the creation of a climate in which publics internal and external to the schools believed that the schools no longer made any difference.

From 1966 through the 1970s efforts of educators focused on "making-up" for socio-economic and family backgrounds. Time, energy and money were allocated to these "compensatory education" activities. Shoemaker and Fraser (1981) pointed out that rather

than "providing the impetus for remedying inequalities, the survey had the opposite effect....Teachers and principals in training heard from their mentors about the importance of the home and about the inability of the school to make a difference" (p. 178).

Edmonds (1982) maintained that "The 'familial effects' interpretation of the origin of achievement focused attention on the presumed intrinsic disabilities of poor children" (p.4). The result of this, according to Brookover (1986), has been that, "American education for three-quarters of a century has been dominated by a belief that what children learn is a result of what they bring from their family. Typical explanations of student failure never mention teaching. They never mention the school" (cited in Olson, p. 11).

During the most recent decade, some researchers have focused on studies that point to *the school* as the major determinant of achievement. The literature in this new focus is generally referred to as the "effective schools" research. Shoemaker and Fraser (1981) observed that this new information is helping to convince educators that schools *do* make a difference. Rather than viewing the child's family background as the major determinant of achievement, "The 'school effects' interpretation of the origin of achievement presumes that almost all school age children are educable and results in instructional strategies that modify school behavior" (Edmonds, 1982 p. 4). The "effective schools" research demonstrated that "Although the SES and minority composition of the school are statistically associated with level of student achievement, many

exceptions exist which suggest that the relationship is not a causal one" (Brookover, et al, 1982 p. 1).

Effective Schools Research

A number of excellent reviews of the "effective schools" literature have been published (Edmonds, 1982; Purkey & Smith, 1982; Mackenzie, 1983). Individuals interested in more depth regarding this research are encouraged to check these resources. Our purpose here will be to give a general overview of the findings of these efforts and to note some more recent critiques of the findings and their generalized uses.

Definitions for effective schools have generally focused on student achievement results on standardized tests. In 1982, Brookover, et al, stated, "An effective school is one in which essentially all of the students acquire the basic skills and other desired behavior within the school" (p. 7). Basic skills achievement was also the essential component of the definition of an effective school as stated by Shoemaker (no date). She noted that, "Schools are said to be effective when the proportion of low-income children obtaining basic skills mastery does not differ from the proportion of all other children obtaining the same mastery" (p. 2).

In 1979, Brookover and his associates reported on a study called *School Social Systems and Student Achievement* which examined the relationship between social system variables and school outcomes. In the study, the significance of family background composition variables were acknowledged. However, since these

variables did not account for all of the differences found in student achievement, the purpose of this study was to ask what else about schools might explain the differences in outcome.

The findings of the study led to the conclusions that "high achieving schools" had a set of common characteristics. These identified characteristics were: an assumption that all students can and will learn, a high level of performance expected from all students, and appropriate patterns of reinforcement and instruction.

Shoemaker and Fraser (1981) reviewed the design and findings of four studies similar in purpose to that conducted by Brookover, et al described above. The findings of the studies reviewed bring additional evidence regarding the common factors of "effective schools." They reported that the "Webster Study" found high expectations, orderly climate, strong leadership and a stress on reading as common factors in successful urban schools. Their review showed that the high achieving school in the "New York Study" was characterized as having positive principal/teacher interactions, school wide practices for reading instruction, a climate conducive to learning and open school-parent-community communications. The "Maryland Study" which they reviewed indicated that high achieving schools had strong leaders as principals, high expectations, and an orientation to cognitive rather than affective goals. Finally, in their report on the "Michigan Study," Shoemaker & Fraser noted that strong leadership, and assumed responsibility for evaluating

the achievement of basic objectives were found to be common to the "improving schools" (Shoemaker & Fraser, 1981).

As the number of these research studies accumulated, reinforcement of the identification of these common characteristics was strengthened. Most all of the findings in these studies were correlational. Depending on the study or synthesis of studies being read, the number of correlates varied.

Edmonds (1982), through his research, identified the five correlates of an effective school as:

1. the leadership of the principal characterized by substantial attention to the quality of instruction,

2. a pervasive and broadly understood instructional focus,

3. an orderly, safe climate conducive to teaching and learning,

4. teacher behaviors that convey the expectation that all students are expected to obtain at least minimum mastery,

5. the use of measures of pupil achievement as the basis for program evaluation.

In their review of a number of studies, Purkey and Smith (1982) identified nine characteristics of an effective school. Their analysis revealed these character-

istics to be: school-site management, leadership, staff stability, curriculum articulation and organization, staff development, parental involvement and support, school-wide recognition of academic success, maximized learning time, and district support.

Squires, Huitt and Segars (1983) identified two major categories of factors, i.e. climate and leadership. And, for each of these categories they specified three elements. For a school's climate, they cited the importance of academic emphasis, and orderly environment, and expectations for success. Under leadership, they identified three processes: modeling, consensus building, and feedback.

Yet another list of these common characteristics was formulated by Gorton (1983). He identified the following factors of effective schools in his review of the research:

- Strong administrative and insructional leadership
- A climate in which administrators and teachers set high standards for students and themselves
- An orderly but unoppressive atmosphere
- A high priority given to pupil achievement over other activities
- Redirection of school resources to basic instruction and curriculum, and

- Frequent monitoring and reinforcing of pupil progress. (Gorton, 1983, p. 39)

The "high profile schools" identified in Andrew's research (Brandt, 1987) were found to have five common characteristics. These five characteristics were: 1) a principal who was a strong instructional leader; 2) high performance expectations; 3) frequent monitoring of student progress; 4) a positive learning climate; and 5) goal clarity. Shoemaker (no date) listed "safe and orderly environment," "clear school mission," "instructional leadership," "high expectations," "opportunity to learn and time on task," "frequent monitoring of student progress," and "home-school relations" as the seven characteristics of effective schools.

The studies and reviews presented here are only a sampling of the literature regarding the effective schools research. As was mentioned earlier, much more in-depth reviews are available and should be sought by anyone wanting more information in this area. For now, attention is focused on what appears on several of the lists: leadership. According to Bossert (1985) "Effective schools have effective principals" (p. 40). And, former U.S. Secretary of Education, William Bennett (1986) wrote: "The research is perfectly clear. It's hard to find a good school without an effective principal" (p. 128).

Effective Principals

Looking at the various correlates of effective schools (Edmonds, Purkey and Smith, Squires, Huitt

and Segars, Gorton, Shoemaker, and Andrews) leadership is present in each. Edmonds and Gorton specifically identified the principal in their lists while Purkey and Smith, Gorton, Andrews, and Shoemaker refer to leadership without identifying a position. Because of the frequency with which this characteristic or correlate appeared in the finding of effective schools research, new research was conducted that specifically focused on leadership in these schools. Particular attention was given to the role of the principal.

The research on the effective principals has sought and is still seeking to identify the personal characteristics and professional behaviors of the leaders of effective schools. Although no definitive set of characteristics and behaviors has been discovered, these studies have begun to sketch an outline of who these principals are and what they do that so influences the performance in their schools.

The three schools in Salganik's research (1980) on "schools that work" were headed by strong principals. These principals were reported to:

- possess ideas which they consistently followed;
- expected, even demanded, that teachers teach and children learn;
- allowed teaching variations from classroom to classroom rather than dictating how teachers should teach;

- made use of the specific talents of their faculty members;

- provided an atmosphere in which teachers were encouraged to solve their own problems rather than be given "right answers" from the principal.

In a 1981 interview Ron Edmonds (Morris, 1981) elaborated on some of the characteristics of the principals in effective schools. First, he noted that the principals in these schools spent more time in the schools and particularly in classrooms than in their offices. He referred to these principals as having a "pervasive physical presence." Additionally he noted that this physical presence was spent on "instructional matters."

Next Edmonds commented on leadership style of these principals. He noted that styles and personalities of these individuals varied. He maintained that the common element for these principals was that they "obtain certain professional outcomes" but that these outcomes were obtained in a variety of ways.

A third issue that Edmonds addressed dealt with "professional consultation." Although he did not refer to the principal, he did affirm that in these effective schools more professional consultation occurred.

Shoemaker and Fraser (1981) reviewed four studies of effective schooling. They found "assertive, achievement-oriented leadership" to be one of four key ideas coming from these studies. They noted that both what principals do *and* what they allow to happen are included in "assertive leadership."

"Appropriate and effective leadership is essential in any successful organization" (*The Effective School Report,* 1983 p. 3). Reporting on the work of Ron Edmonds, *The Report* summarized the following techniques for the effective principal: active participation; observation of classrooms; instructional leadership; offer alternatives.

Some common elements found regarding the principals in Dwyer's study (1984) were:

1. visible in the school and available to staff and students,

2. attentive to details and possessing a "routine nature" in their "acts and activities,"

3. attentive to the school environments, public relations, and student achievement,

4. concerned with monitoring, controlling and exchanging information, planning student interactions, plant maintenance, and selecting and developing staff.

Dwyer noted that although the leaders in his study all focused on the climates of their schools and showed great concern for the instructional program, the ways in which they accomplished this varied. Similar to Edmonds, Dwyer found both likenesses and differences in the strategies employed by the leaders of effective schools.

Bossert (1985) identified that four elements of leadership are characteristic of principals who are effective administrators: they emphasize goals and production, they possess power and have decision making skills, they have great skills in managing and coordinating instructional matters, and have strong human relations skills both inside and outside the school. Additionally, he identified the visibility of these principals and their ability to articulate links between what they do in their role as principal and the school's instructional systems as two common characteristics of effective elementary principals.

In Andrew's research (Brandt, 1987) principals in "high profile schools" were perceived by the teachers in those schools as strong instructional leaders. The teachers were asked to report the most important characteristics of these principals. Three common characteristics surfaced from these teacher reports: 1) "visible presence in the school"; 2) "definite ideas about the purpose of their school" (set a vision); and 3) "get resources to help their teachers deliver" (p. 13). In additional comments regarding the principals in this study, Andrews (Brandt, 1987) adds that these individuals "have a keen understanding of curriculum and instruction" and "ability to communicate at three different levels"—interpersonal, small group and with the larger community outside the school."

Bauck's work (1987) discovered some information regarding the attitudes of these effective principals. He did an extended analysis of data collected by the National Association of Secondary School Principals in

two of their studies: *The Middle Level Principalship, Volume I, A Survey of Middle Level Principals and Programs* and *The Middle Level Principalship, Volume II, The Effective Middle Level Principal.* Based on his analysis, Bauck concluded that, "Effective principals have a very positive outlook about their work; they experience higher job satisfaction and view problems as less insurmountable" (p. 92).

Knowledge of curriculum and instruction, effective communication skills with staff, students and community, goal orientation, concern for the physical and emotional school environments, consistency in their behaviors and their expectations for others, concern for the development of staff, visibility and attentiveness to student achievement appear to be the most common findings in studies of effective principals. As additional research is completed, the list of characteristics and behaviors will likely become more specific. But even at this early stage of research some valuable information is being identified.

All principals work within a larger organizational unit, i.e., a school district. Whether by proactive support or by default the activities of the district level leadership influence the effectiveness of the principals. The final section of this chapter is a brief overview of the newest area of effectiveness research—the effective school district.

Effective School Districts

Leadership is essential to organizational performance. The vast majority of literature on school

effects has focused on individual classrooms, schools and principals. Recently, however, the spotlight has begun to shine to some extent on the larger organizational context of schools—the school district. The limitation of focusing on the principal and the individual attendance center as the key to effectiveness neglects the nature of schools as organizations in the United States.

Public school education in this country is organized on a district basis rather than on individual units. Limiting literature review to the studies of individual classrooms, schools and principals neglects the basic way schools are organized, which in most cases are multiple buildings in a single school district. This larger perspective takes into account the functions of the Board of Education, superintendents, assistant superintendents and other leadership roles at the district-wide level. For our purposes, the inclusion of a district level focus regarding effectiveness is very much in line with our view of public schools from a systems perspective. Additionally, the number of studies and evaluations of district-wide effectiveness through school improvement efforts is increasing. In Chapter 6, we will discuss the importance of district-wide elements in the empowerment of individual schools and principals. For now, we will be content with presenting some of the research and writings addressing effectiveness at the school district level.

The earlier literature focusing on classrooms, schools, and principals did not purposefully exclude mention of the importance of the school district.

However, the lens was focused so intensely on the individual unit that the larger perspective was ignored or as noted by Shoemaker (no date) "afforded superficial treatment." Murphy, et al (1984) cited "Overemphasis on the role of individual schools at the expense of district and state activity," as a major "embedded misconception" in the literature regarding school improvement.

Purkey and Smith (1982) stated that few if any of the variables found to be significant in the effective schools literature are likely to be realized without district support. They asserted that guiding and helping is the best conception of the district office role. Attitudes at the district level ranging from hostile to indifferent could greatly reduce the success of school improvement programs. Similarly, Odden (1983) declared that school improvement programs should only be undertaken when there is a commitment to do so from the central office.

Superintendent support and coordination of improvement projects; coordination of curriculum, designs for improved instruction, staff development programs, and improved evaluation of both teachers and students; issuance of annual planning statements of missions and goals for effectiveness initiatives; development of common district-wide outcome objectives; development of policies to "protect and govern" the effectiveness activities and assure them legitimacy are roles the central office can play in helping to increase school effectiveness (Shoemaker, no date).

Robert Fortenberry, superintendent of schools in Jackson, Mississippi (1984) noted that "If school

systems are to be effective (bring all students to 'at least' minimum mastery), the total school culture has to be addressed simultaneously" (p. 1). He identified the following seven elements as minimal requirements for such simultaneous focus:

1. equity and equal access features

2. repetitiousness in asserting that all students are able and expected to learn

3. systematic translation of expectations for learning into programs for learning

4. commitment to staff development

5. clarity regarding what teachers are to teach and students are to learn

6. development of a formative program evaluation system

7. allowance for systematic input of all school publics that is focused on collaboration and cooperation rather than power struggles (Fortenberry, 1984).

A district-wide school improvement effort initiated in Romeoville, Illinois in 1974 resulted in large gains in student scores on norm-referenced and criterion-referenced tests. In response to an inquiry regarding

how this was achieved, Pankake (1979) identified eleven "essential conditions" for improving student learning in a school district:

"There must be a Board Policy that makes clear what the 'stockholders' of the corporation want as profit on their investment. The policy must be clear enough on that matter that most employees have no difficulty with interpretation.

"The outcomes of instruction must be described in student learning terms. The outcomes must be measurable/observable.

"The school district must use an independent auditor to check its performance. It's best if the Board employs said auditor.

"The community and school district employees must be confident that the students enrolled in the schools are capable of learning more than they have been and that it's important that they do in fact learn more.

"The building principal's priority job must be defined as *causing more students to learn more.*

"The position of principal must be occupied by individuals who understand the priority job definition and are capable of performing accordingly.

"The principal must be provided adequate resources for achieving the objectives set for the school, e.g., instructional personnel, supervisory personnel, instructional tools and methodological protocols related to their use, effective tools for assessing student learning, both process and product.

"Instructional supervision must be induced and subsequently institutionalized in the school's daily instructional routine.

"The district must have a rational procedure for conducting its curriculum improvement work. Such work must be centralized rather than decentralized.

"There must be adequate budgetary commitment as regards the scope and sequence of the curriculum improvement work desired by the Board of Education and the community it represents.

"There must be someone at the district level in charge of the curriculum improvement work. The person must know and be able to exhibit that she/he knows "up from down" about the task at hand. This person must occupy a line rather than a staff position and must be able to exercise considerable influence as regards resource allocation for instruction." (Pankake, 1979)

In his analysis of the role of boards and district administrators in the school improvement process, Cuban (1985) cautioned readers to remember that few studies on effectiveness have focused on district-wide

research. He observed that what data do exist indicate a pattern to the policies adopted by districts committing to the school improvement process. The pattern of these policies generally include: district level targets for instruction that focus on improved test scores, stiffer promotion and graduation requirements, mandated planning processes for individual schools, focus on curriculum, instruction and test alignment, alignments of supervisory and evaluation practices to fit district goals and the effective school literature, district-wide assessment processes which guide program changes, and a focus on staff development programs for individuals at all levels of the organization. He warned that while some of the results of these efforts are those intended, these same actions and activities may bring about some "unanticipated consequences" which include: "increased uniformity," a "narrowing of the educational agenda," "increased conflict between teachers and administrators" and "lack of focus on schools with high test scores" (Cuban, 1985, p. 39, 40).

Additional research on the impact of district level improvement efforts is needed. Although it is too early to draw definite conclusions for advocacy or caution regarding district-level activities, it is true that elementary school principals must operate within the larger organizational context of the school district. Acts of omission and commission at the district level will influence what principals at individual school sites can and cannot do. Effective elementary principals will be alert to the increasing research in this area and will

operate to balance the larger organizational purposes and activities of the district with the school level needs.

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Four
Focusing On Instructional Leadership

To the authors of this book, the term "instructional leadership" too frequently indicates greatly varied and even contradictory behaviors. Several distinctly different types of definitions of instructional leadership emerge from the literature, each presenting a different perspective.

The Traditional View

The traditional view tends to define instructional leadership as a broad general type of inspirational capacity possessed by the principal; he/she inspires the teachers to constantly strive to attain the school's educational goals. In this view, instructional leadership equates with being able to get others to follow the principal's lead in setting instructional goals, designing and implementing instructional programs, and evaluating specific learning outcomes. The emphasis is on the "principal teacher" developing the faculty into a willing band of followers. In our opinion, this approach has too often resulted in the creation of a "leadership folklore" spotlighting leader behaviors which are

frequently not transferable from one school setting to another. Additionally, when this type of leader eventually retires or leaves the school for other reasons, a serious malaise often sets in among the staff, who grieve the loss of "their" leader to the extent that they find it difficult to commit fully to the new leadership.

The Systems Management Approach

Another approach sees the instructional leader as a technocrat steeped in systems management theory who emphasizes organization of the school above all other goals. This type of leader, inspired by such management theorists as Peter Drucker (1954), often creates a marvelous mechanism for delivering instructional services with almost production-line reliability. However, the very mechanics involved in establishing and maintaining such a system tends eventually to depersonalize the principal's work to such an extent that teachers begin to feel "put upon," depreciated, and powerless—in short, mere cogs in the grand design. In many respects, modern systems management, overdone or improperly applied at the school-site level, represents a throwback to Frederick Taylor's "Scientific Management" thinking (Taylor, 1947). It stresses the manager's role as not merely *essential* but paramount , and thereby tends to compress the contributions of teachers as individuals into officially-sanctioned and mandated behaviors. This approach has been proven effective in industrial settings based upon physical output schedules. However, such programs as

MBO and PERT must be adapted to individual school settings to avoid risk of depersonalizing the teaching/ learning situation to an unacceptable degree.

The Humanistic Perspective

The "humanistic" approach represents a third major view of instructional leadership. Relying heavily upon the thought of Abraham Maslow (1943, 1954) and its logical extension by Douglas McGregor (1960), this approach emphasizes the importance of the leader as nurturing the inherent creative talents of faculty members. Prime exponents of this view have been Kimball Wiles and his associate, John T. Lovell, (Lovell & Wiles, 1983) who see instructional supervision as the act of "releasing the creative human potential" of teachers.

We believe that all three of these approaches have some merit and some disadvantages. The first type of leader fits the definition of an organizational "hero" as described by Terrance Deal (1982), and as such can be a positive, unifying, and inspirational force in the life of the school; on the other hand, overreliance on the hero can ultimately weaken the school's instructional program. The second type, the systems manager, certainly contributes clear goals and structure to the school, but in so doing may so depersonalize the work atmosphere as to weaken the individual loyalty and personal commitment essential to maximum effectiveness. Too often, a new form of bureaucracy arises with all the associated problems. Max Weber

(1947) recognized that the resultant system tends more to serve the occupiers of positions than the needs of students.

The humanistic principal, representative of McGregor's "Theory Y" manager, cements the human relationship matrix of the school. However, excessive concern with personal problems of individual faculty members can lead to interpersonal difficulties and obscure the main goal of the school—seeing that the students receive the best possible opportunities to learn.

A Functional Definition of Instructional Leadership

We therefore hold that a combination of all of these styles of thinking about effective instructional leadership at the school-site level presents the most viable concept for use in this book. The following definition of instructional supervision, derived by Burnett from Wiles and Lovell (1983), but incorporating other schools of thought as well, will serve as the standards against which we will judge the effectiveness of instructional leadership: Instructional supervision is the continuous and harmonious process of releasing the creative human potential of the instructional staff of the school in such a manner that the educational goals of the school are achieved.

The Effective Use of Expert Power

One frame of thinking at the present time, represented by AFT President Albert Shanker (1986), is that the principal should gradually recede into the background of school operation. In Shanker's view, the principal should become essentially a manager of support activities, leaving instructional leadership of the school to a coalition of faculty members chosen by the teachers. If this approach were adopted, the principalship would become simply a processing position in business management, with all critical instructional decisions controlled by the teaching faculty. The principal's role would become one of serving the needs of the *faculty* as defined by the faculty, and he/she would be divorced from functional control of the school's instructional program.

Unfortunately, this view of school organization and leadership does not take into account some of the most significant findings of organizational theory. Authors from Barnard (1938) to Deal (1982) have insisted that the most effective organizations are invariably those in which both the broad vision of the manager and the necessarily narrower view of the individual worker are reconciled into a functional system aimed at mutually agreed-upon goals. The manager has two specific tasks within the organization.

First, the manager must orchestrate the operations of the individual units of the organization to create a "true whole that is larger than the sum of its

parts" (Drucker, 1954, p. 341). Second, the manager is responsible for seeing that all acts and activities are appropriate not only for the short term succcess, but for the long-range needs of the organization (Drucker, 1954). In schools, it is the principal who is in the position to balance the short and long term perspectives and to tend individual units without neglecting their relationship to the whole.

Similar to Brickell and Paul's (1988) argument regarding lay governance of organizations, the principal is the individual within the school that represents the "outsider" and the classroom teachers the "insiders." According to them, "Insiders make bad governors because they focus on operations; outsiders make good governors because they focus on results." (Brickell and Paul, p. 11). Within the context of the individual school, instructional leadership is best kept as a part of the principal's responsibilities. The principal has the breadth of organizational vision necessary to support the expertise of the professionals within the school regarding how best to operate—processes; while at the same time not becoming so involved in the operations that their purpose—results—is forgotten.

Waffling has already begun to appear on the critical issue of accountability for student learning. Shanker and others advocating classroom teacher control of the school's instructional program have had little substantive to say concerning precisely *how* expertise from individual teachers will be applied to today's *school-wide* instructional problems. What has emerged is a belief that what works for *one* outstanding

teacher can be used by *all* teachers—especially by those with deficiencies in delivering instructional services to students. Emphasis is placed more upon the need to remediate the deficient teacher than upon the right of the student to be spared exposure to such deficiency in the first place.

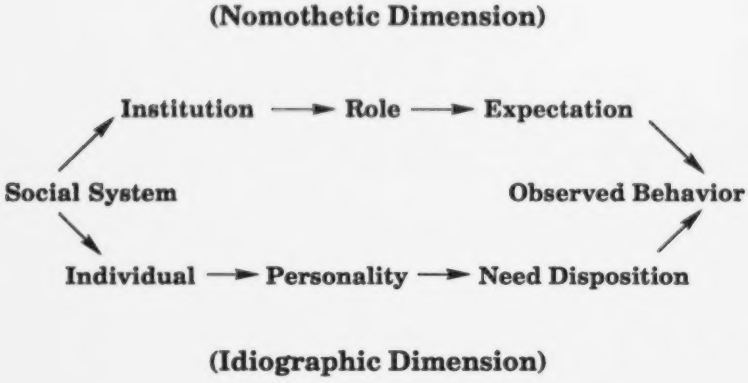
Guiding Principles

We take the position that a viable instructional leadership role is inherent in the principalship. Many principals have demonstrated over numerous decades that it is quite possible for the principal to be inspirer, organizer, and humanistic leader all in one. For this to be truly understood, however, certain basic principles of organizational dynamics must be taken into account and applied effectively.

The Getzels-Guba Model of Organizational Social System Functioning

We believe that the natural role of the principal as instructional leader of the school is best illustrated by the model of organizational social system functioning developed by Jacob Getzels and Egon Guba (1957, 1958) at the University of Chicago's Midwest Administrative Center under a Kellog Foundation Cooperative Program in Educational Administration grant. The Getzels-Guba model is presented in Figure 4.1 on the next page.

Figure 4-1: The Getzels-Guba Model of Organizational Social System Functioning



Getzels, J.W. "Administration as a Social Process" in A.W. Halpin, Administrative Theory in Education, New York: Macmillan, p. 156. (Reprinted with permission of the publisher.)

Using the model in Figure 4.1, the school can be conceived as a social system with activity progressing simultaneously along two distinct dimensions: 1) the *nomothetic dimension,* which represents the impersonal organizational structure of the school; and 2) the *idiographic dimension,* which represents the personal life of each educator working within the school. Each dimension consists of three distinct elements, which are parallel to and interactive with comparable elements comprising the other dimension.

On the *nomothetic* dimension, the institution (the school) is conceived as the sum total of its roles. Each role is seen as the sum total of expectations placed upon it; such expectations are typically placed in the written job description of the role. The nomothetic dimension is distinctly impersonal. (It matters not *who* fills the individual roles; it matters only *that* they *be* filled.)

On the *idiographic* dimension, each individual (teacher) is viewed as the sum total of his/her personality traits. At any given moment, the personality is seen as determined by the personal need(s) being felt and how well those need(s) are being satisfied. The idiographic dimension is intensely *personal.* Idiographically, we focus upon the individual, his/her personality, and how that personality is being shaped by need-disposition.

According to Getzels and Guba (1957, 1958) observed behavior within the social system occurs as a result of simultaneous activity and interaction among various elements comprising both dimensions. Conflict among faculty members may arise, for example, from personality conflict, role conflict, or role-personality

conflict. This model can be used effectively to analyze teacher-role relationships for each supervisee.

A final concept of significance to the principal is that according to the Getzels-Guba Model the school is healthiest when the idiographic dimension of each faculty member is in as close overlap as possible with the nomothetic dimension. Therefore, we hold that the role of the principal is to try to release the creative human potential of each teacher in such a manner that the teacher's idiographic dimension is drawn into as complete overlap as possible with the nomothetic demands of that teacher's specific teaching role. The process is much like that of focusing a split-image camera; as the two aspects are drawn together, the image is sharpened. The ideal result would be such a perfect overlap that each teacher would experience basic need-satisfaction to such an extent that the applicable job expectations are being met. The personality of each teacher would therefore fit with his/her role, and the individual would fit with the institution.

Maslow's Hierarchy of Human Needs

Our vision of the functional role of the principal in the area of instructional leadership lies primarily in his/her effective use of expert power in the human skills required to draw each teacher as a unique human being ever more constantly into an effective alignment with that teacher's nomothetic role within the school. Although competence in such technical skill areas as curriculum,

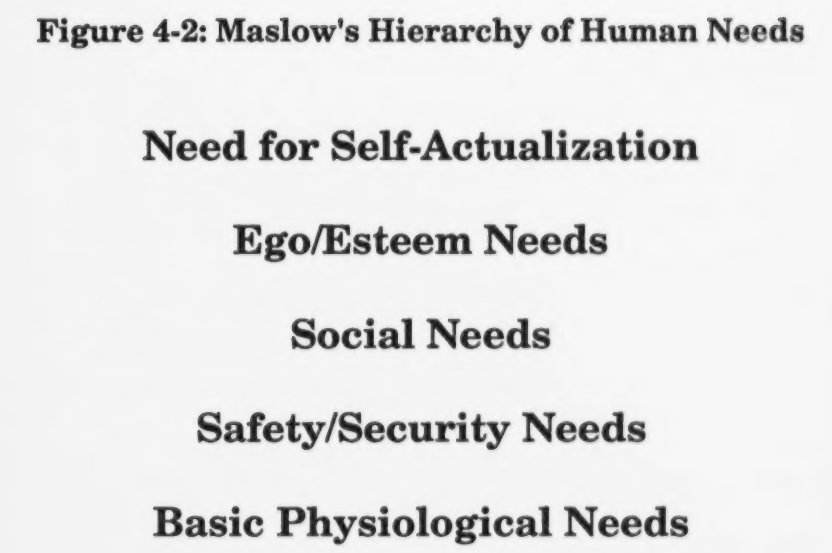
pedagogy, and instructional materials is clearly necessary, the ability to facilitate the idiographic/ nomothetic "fit" described is paramount.

In order to facilitate such accommodation between teacher and role, the principal must know what personal motives are causing the behavior he/she observes in each teacher. In order to help determine such motivational factors, we rely upon Abraham Maslow's hierarchy of human needs (1943, 1954). Although no definitive validation of Maslow's theory of hierarchial levels of motivation has been demonstrated, the concept can be valuable to principals in determining specific motivational factors influencing teacher behavior.

Maslow believed that meaningful work is essential for all human beings as they grow and mature if they are to remain physically and mentally healthy. He determined that five main levels of motivation derived from five major levels of needs common to all human beings. Maslow's Hierarchy of Human Needs is presented in Figure 4.2.

According to Maslow, the unifying principle connecting these five levels of human needs is that in order for the individual to be able to address any specific level, *all* of the need levels below the one being addressed must have been satisfied at that moment. Therefore, one cannot address such higher levels as ego/esteem needs or the need for self-actualization while need levels lower in the hierarchy remain unsatisfied. It must also be noted that it is quite possible for an individual's motivational level to move up or down

Figure 4-2: Maslow's Hierarchy of Human Needs



Adapted from Maslow, A. (9143) Motivation and Personality, Psychological Review 50 (July 1943) pp. 370-96.
(Reprinted by permission.)

the hierarchy depending upon the types of personal needs he/she is currently experiencing in his/her life situation.

The specific applicability of Maslow's thought to instructional leadership is significant. Whichever specific level of needs a teacher is operating at, he/she cannot address effectively any level above the one acting as his/her primary motivator at that time. Obviously, barring a physical disability such as a heart attack, teachers do not typically operate at the level of basic physiological needs. However, many circumstances, ranging from worries about personal health and family relationships to concerns about financial debt and the impact of performance evaluation and accountability on the prospects of keeping one's teaching position, can restrict the teacher's motivational focus to the relatively low level of safety/security needs. Certainly, the principal needs to be aware if such motivation is driving one of his/her teachers.

A limited number of teachers seem to operate mainly at Maslow's third level of motivation—social needs—for varying periods of time. At that level, the need for human interaction and comradeship predominates. As in the previous case, the driving motivation of such a teacher is *self*-centered rather than focused upon behaviors necessary to achieve the expectations of the nomothetic role specified within the operations of the school. In such cases, the principal needs to be aware of the teacher's dominating motivation and try to channel school activities in such a way that opportunities for the required social interaction are built in for the teacher.

When a teacher's need level rises to level four of Maslow's hierarchy, that of ego-satisfaction, and the need for esteem from others and oneself arises, the principal can assist the teacher to strive to achieve the basic expectations of the role the teacher fills. Integration of role expectations as deeply ingrained personal needs of the teacher leading to feelings of respect from others and self-respect has great significance in the development of an effective instructional program.

Finally, when a teacher's need level rises to that of the need for self-actualization, by which Maslow means using one's innate talents and potential—the principal can become a true colleague of the teacher to shape his/her own professional development and by providing necessary material and psychological support for the implementation of promising innovations initiated by the teacher. Practical examples would range from assigning the teacher to a desired experimental class to providing special instructional materials for an innovative reading program. Tying Maslow's thought to that of Getzels and Guba, we begin to see the emergence of the operational agenda of this book. By joining the expert power of the individual teacher to that possessed by the principal, the best possible instructional program for students results.

Glickman's Paradigm of Teacher Categories

A final paradigm to consider is that of Carl Glickman (ASCD, 1981)*, in which he advocates that the

supervisor's work with teachers be developed in terms of correlation between two factors: 1) level of teacher commitment; and 2) level of abstraction. Glickman's paradigm is presented in Figure 4-3.

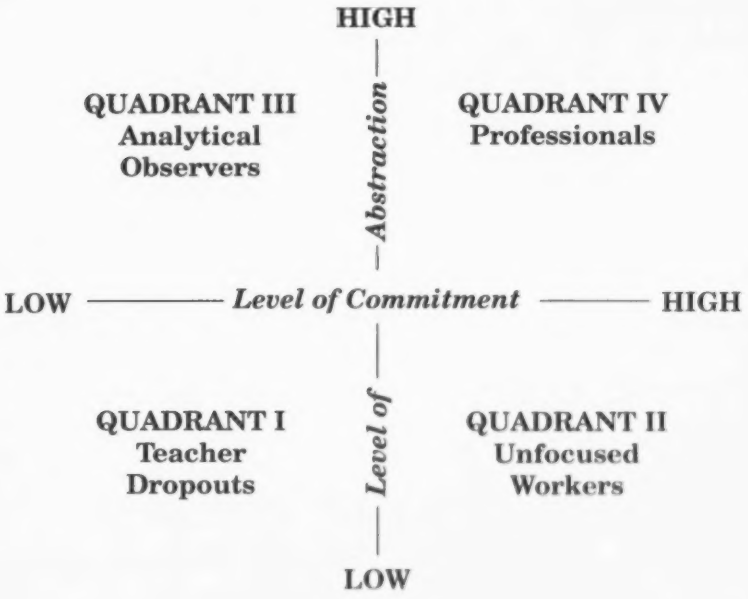
Glickman defines "level of teacher commitment" as desire and will of the teacher to teach effectively, and "level of abstraction" as the teacher's ability to define and solve instructional problems. Based upon the interaction of these two variables, four quadrants characterizing four distinct types of teachers appear on the paradigm. A brief discussion of each quadrant and the implications we see for instructional leadership follow.

A small minority of teachers within a typical school (5-10%) appear in Quadrant I. They are what Glickman refers to as "Teacher Dropouts." Although physically present in the school, they do not contribute to the effectiveness of the instructional program in any substantive way. Both their level of commitment and their abstraction are low. Such teachers may be incompetent, selfish, demoralized, "burned-out" or simply lazy.

Whatever their problem, if the principal cannot help them improve, they are deadweight on the instructional

**"The author's work in 1981 has been revised in a subsequent book entitled *Supervision of Instruction: A Developmental Approach* (Allyn & Bacon, 1985) and in a second edition published in 1990. These later books emphasize the individual teacher rather than quadrants or categories and outline four supervisory approaches rather than three. Developmental levels of abstraction and commitment are viewed as fluctuating variables dependent upon the particular topic under discussion. The basic principles for working with a teacher remain the same with the goal of assisting teachers to move to higher levels." C.D. Glickman (personal communication, February 6, 1989)

Figure 4-3: Glickman's Paradigm of Teacher Categories



Glickman, Carl G. (1981). Developmental supervision: Alternative practices for helping teachers improve instruction. p.48. Reprinted with permission of the Association for Supervision and Curriculum Development. Copyright © by ASCD. All rights reserved.

program and must be counseled or evaluated out of their teaching roles if the school is to serve the educational needs of the students effectively. It should be noted that such teachers often take up a major portion of the principal's time in formal evaluation procedures. Glickman recommends that the principal take a *directive* approach in working with such teachers.

Teachers found in Quadrant II are called "Unfocused Workers" by Glickman. They are relatively high on commitment, but low on abstraction. A number of beginning teachers fall into this category, but so do certain experienced teachers. Such teachers are highly motivated to teach, but do not know the right moves to make in specific circumstances. Glickman recommends a *collaborative* approach with such individuals, focusing upon developing their powers of abstraction.

Quadrant III comprises teachers relatively high on abstraction, but low in commitment. Such teachers have the ability to identify and solve practical instructional problems, but lack the will to carry through on solutions. Glickman recommends that a *collaborative* approach also be used with these teachers, but this time focusing upon raising their commitment level. He refers to teachers in this Quadrant as"Analytical Observers."

Teachers found in Quadrant IV Glickman identified as "professional." They are high in both commitment and abstraction and can be a delight for the principal to work with. Often, the principal need simply make them aware of an instructional need and they will reason out and implement a more effective solution than

the principal him/herself could have developed. Such teachers need a collegial working relationship with the principal and substantial instructional support if their potential contributions to student learning are not to be lost. Glickman recommends that the principal take a *nondirective* approach in dealing with such teachers. Unfortunately, according to Glickman, (1981) "Professionals" comprise only 10-20% of a typical faculty.

If Glickman's contentions are accurate, approximately 5 to 10 percent of a typical faculty will be "Teacher Dropouts" requiring the principal to take a *directive* approach, 60 to 70 percent will be either "Unfocused Workers" or "Analytical Observers" requiring variations of a *collaborative* approach, and the remaining 10 to 20 percent will be "Professionals" with whom the principal should use a *nondirective* approach. Glickman points out, "Therefore the most commonly used approach with most teachers should be the *collaborative* orientation" (Glickman, C.D., 1981, p. 52).

In his later works, Glickman emphasizes the quadrants as guides for diagnosing the fluctuations of abstraction and commitment factors in a *single* individual and cautions against the notion that there are four types of teachers. The focus for principals in both the work cited here and in Glickman's other writings is on the development and selection of supervisory behaviors in relationship to the supervisee.

A Functional Synthesis

We propose a synthesis of the insights provided by Getzels and Guba, Maslow, and Glickman to create a truly holistic approach to instructional leadership. Such an approach is rooted in sound organization of the school and systematic instructional processes, but is basically humanistic in its focus upon getting the nomothetic expectations for each teaching role fulfilled by working through the underlying personal motivations of each teacher.

The need for balance in approaching the individual teacher is obvious. Douglas McGregor (1960) pointed out that Theory X and Theory Y were only the extremes on his dichotomous scale of manager orientations. What has been called Theory Z (Maslow, 1971)—the situational accommodation of management approaches to the particular physical and human circumstances faced by the principal, is the foundation on which our approach to instructional leadership is based. Through such a process, the expert power of both the teacher and the principal can best be released for the educational good of the students.

Having discussed the nature of instructional leadership as we conceptualize it, we will continue in Chapter 5 to examine specific steps and procedures to help the principal maximize his/her effectiveness in bringing about the individual synthesis of idiographic and nomothetic considerations within each teacher so that the maximum possible learning opportunities may be presented to each student.

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Chapter Five
Increasing Your Effectiveness —Getting Started

Introduction

We assume that the reason you are reading this book is that you want to increase your effectiveness. No doubt there might be other reasons—you were assigned the task or someone else had already checked out the book you really wanted—but, allow us the pleasure of assuming it's because you want to be more effective and you thought this book might help.

Recall that back in Chapter One we noted Drucker's assertion that effectiveness can be learned. We have spent our writing up to this point in sharing some definitions, describing the social context of the school as an organization, and reviewing the literature on effectiveness and instructional leadership. We believe that all of this has been important in setting a framework for what comes next. In this chapter and the next, we take the "next step"—writing about how effectiveness can be evaluated and developed. Here we

describe some elements that we believe are necessary conditions for effectiveness in the school. The contents of this chapter set the stage for what we discuss and propose in Chapter Six regarding interactions with others.

Setting Goals and Objectives

According to Gorton (1983) "...the development and evaluation of school objectives may very well be the most important task which the administrator can perform, since objectives chart the direction that education should take in a school" (p.42).

Although this may seem obvious, the literature in education and business has for years admonished the leadership of the organization to develop objectives and to identify and apply ways to measure their accomplishment. The same advice has appeared year after year, article after article and book after book.

For instance, in 1949 Ralph Tyler proposed four fundamental questions that must be answered for effective work in curriculum and instruction:

"1. What educational purposes should the school seek to attain?

2. What educational experiences can be provided that are likely to attain these purposes?

3. How can these educational experiences be effectively organized?

4. How can we determine whether these purposes are being attained?" (Tyler, 1949, p. 1)

Note that Tyler's questions one and four parallel the development and evaluation of school objectives recommended by Gorton.

In 1977, Drucker identified five basic operations of the manager. The first of the five identified operations was to "set objectives" and the fourth was "establishing measuring yardsticks." Again, note the parallel to Gorton's assertions regarding development and evaluation of school objectives as "the most important task which the administrator can perform."

Our definition of an effective elementary principal also highlights these two elements:

> "...the effective elementary principal is the officially designated administrator/leader of a school comprising one or more grade levels of the K-8 continuum who: (1) has identified and prioritized specific measurable educational outcomes desired by the school and (2) can demonstrate empirically the extent to which those prioritized goals have been achieved within a specific time schedule."

In truth, we propose that effectiveness is impossible to attain without these two elements—*they*

are necessary conditions for effectiveness. Without the development of specific predetermined educational outcomes and without appropriate means for measuring these identified outcomes, you cannot be effective. Both elements must be present. Please note that we do not assert that these two elements are *sufficient* for effectiveness, but we do affirm their *necessity.* They represent the "results/accomplishments" around which we have framed this book. Without these outcomes, the time and energy that you as principal and all other individuals associated with your school—including the students—spend may or may not be effective. There just is no way to tell without the reference of these two elements. You can be very busy, filling each and every minute of the school day. However, being busy is merely that unless you know the *purpose* of the activities and you have some means for knowing if the activities have resulted in the achievement of that purpose. Without these, all you have accomplished for sure is the consumption of time and energy.

We would maintain that if the outcomes and their means for evaluation are available, you are much further along on the effectiveness continuum than if you and your staff are engaged in activity with no identified purpose. It is easier to adjust activity to align with specified objectives than it is to try to figure out the specific objectives through the analysis of activity.

Writers on effective schools and school improvement echo the importance of development and educational outcomes. Bacharach and Conley (1986)

noted that agreed upon goals and objectives guide the monitoring and evaluating in effectively managed schools. In *Time for Results* the "development of clear and measurable goals that are directly related to student achievement, attendance, and rates of school completion" is recommended (Nathan, 1986, p. 200, 201). Bossert (1985) listed "a system of clear instructional objectives for monitoring and assessing students' performances" (p. 39) as a characteristic of effective elementary schools. And, *The Effective School Report* (1983) listed purpose and measuring results as two of Edmonds' effective school correlates.

The First Step: Development of Goals and Objectives

As a first step to increasing your effectiveness and the effectiveness of your school, the development of goals and objectives must be accomplished. In a "Trip Toward Excellence," Pankake (1986-87) related the process of increasing effectiveness to taking a successful trip. She pointed out that the first task is to decide, "Where is it you want to go?" (p. 162) Prince (1987) also maintained that, "To determine how well a school performs requires knowledge of what was supposed to have happened in the first place" (p. 93). On the other hand, DeRoche (1987) asserted that "it is important to know where one is before one can determine where to go and in what direction..." (p. xi). Although we agree that assessment of "where one is" is necessary and will be discussed later, we affirm the

sequence as presented in Tyler's four questions (1949) and in Drucker's five basic operations (1977). It is clear that the identification of objectives/purposes must be completed first.

Development and evaluation of educational outcomes are reciprocating tasks. Development is based on data collected through evaluation, and evaluation is directed by the objectives developed. As Mager (1962) stated, "When clearly defined goals are lacking, it is impossible to evaluate a course or program efficiently..." (p. 3). According to Drake and Roe (1986) the purpose of the evaluation is to focus on "the relationship between what the program is attempting to accomplish and what the results are" (p. 275). The first things an evaluator seeks are the goals and objectives of the program or activity. If these have not been clearly specified, the immediate recommendations of the evaluator is to begin the development of educational outcomes (Drake and Roe, 1986).

Our recommended sequence is to develop goals and objectives as a first step. You may choose to begin with an evaluation, the first step of which is to identify the goals and objectives of the activity or program being evaluated. The point is, in order to assess effectiveness, goals and objectives *must be* identified sooner or later. We recommend sooner.

What Objectives?

In our definition of an effective elementary principal, we require that "specific measurable outcomes

desired for the school" be identified and prioritized. We do not state what those outcomes should deal with.

Students can and do learn many things in schools. Generally, learning falls into one of three categories—cognitive, affective or psychomotor (Bloom, 1956). Cognitive learning is probably the easiest domain for which measurable objectives can be developed and evaluated. However, we often find ourselves and others alleging that there is as much or more value involved in the affective and psychomotor areas. We suggest that objectives in each of the three domains of learning be developed and that appropriate means for their evaluation be identified. However, adhering to the adage that "nothing succeeds like success," we recommend that in initiating your development process you do two things. First, select a single area of focus. Second, begin with objectives in the cognitive learning domain. Eventually you will address all subject areas and all three domains of learning. However, what you want at this point is a beginning that will be most likely to succeed.

Who Should Decide What Objectives?

We would recommend that a diversity of people be involved in deciding what the outcomes for the school are to be—parents, teachers, school district officials, and in some cases, the students themselves. By this, we are not advocating that you rent a hall and have each of the individuals associated with the school bring pencil and blank paper for an objectives-writing session.

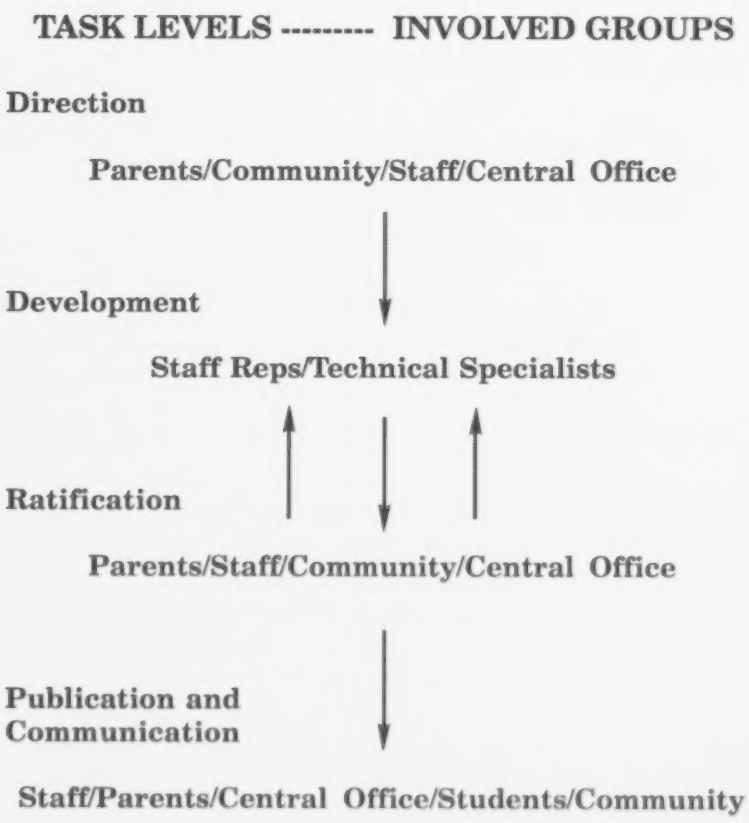
Rather, we are suggesting that various levels of involvement are appropriate for different groups throughout the development process. Although the kinds and degrees of involvement will vary, the important point is that the involvement will occur. Lamm observed in 1986 that "The most effective schools are those in which everyone works together for clear and specific goals" (p. 212). One way to ensure support for the "clear and specific goals" developed for your school is to provide interested parties real involvement in the process.

One system for securing such breadth of involvement would include four task levels: 1) direction, 2) development, 3) ratification, 4) publication and communication. A model of this system would resemble an hour-glass with width at both the top and bottom and tighter space between the two ends. In this system "Direction" would be the initial identification of general areas of learning. This level would not involve specific outcomes but more global statements. For instance, if the area were mathematics, "direction" might take the form of "can use the operations of addition, subtraction, multiplication and division accurately." The area of English expression, a direction statement such as "knows the parts of speech" would be generated at this level. A variety of populations should be involved at this level, including parents of children enrolled in the school, perhaps parents with preschoolers, as well as all members of the school's faculty. Meetings and surveys would probably be the best methods for accomplishing this task level.

"Development" would involve the technical work that would convert these general statements generated at the direction level into well-stated learning outcomes. Because of the technical work involved here, narrower involvement is advised. Representatives of the school's faculty and content and curriculum specialists from the central office would be the most likely individuals to be involved here. The product to be generated at this task level would be a set of well-written learning outcome statements for each grade level of the school in a specific subject area.

When the development task level is completed, the learning statements generated need to be ratified. Here the breadth of involvement increases again. All members of the faculty and all parents need to ratify the learning outcomes that have been developed. During this process, all faculty members within each of the grade levels need to agree that the outcome statements produced describe the desired learning for the children at those grade levels. Additionally, the teachers from all grade levels need to ratify that the set of learning outcomes specified are sequenced appropriately and do not overlap to the point of repetitiveness as children move through the grades. Effective vertical and horizontal articulation of the curriculum must be ensured. Parents also need to review the learning outcome statements and agree or disagree that these statements represent the learning they desire for their children. From this "ratification" process, additions, deletions and resequencing suggestions may arise. If this happens, the process should move back to the development task

Figure 5.1: Hour-Glass Model for Curriculum Development and Ratification



Pankake, A.M. (1988)

level for changes and then back to the ratification task level for final approval. When the final ratification of the fully developed learning outcome statements has been secured, the statements should be codified in a "publication" of the school and "communicated" to all publics internal and external to the school. A copy of this publication should be given to every staff member and made available to all parents and perhaps even upper grade level students. The developed learning outcomes will now be "communicated" as learning expectations. Students will be told what they are to learn, parents will be reminded of the expectations that they helped to create and teachers will use these outcome statements to frame and plan their instructional program. Finally, you as an effective principal will use these statements as the basis for monitoring the student progress in your school.

This hour glass model is suggested as one systematic approach a school might use to identify and develop specific learning outcomes. Your district or school may already have a system and/or standing committee in place that can serve the purposes described here. Whatever the case, the number of people and the interests represented should be as inclusive as possible. Lamm (1986) pointed out the importance of the school reflecting the priorities and interests of both faculty and parents and Odden (1983) declared that central office commitment for school improvement efforts should be secured. Using a multi-leveled development process for identifying and prioritizing learning outcomes for the school can help

greatly in securing this essential condition for increasing school effectiveness.

The Second Step: Evaluation of Achievement

At the risk of belaboring the obvious, you cannot evaluate the achievement of your goals and objectives until you know what they are! The information and recommendations in this section are predicated on the completion of "the first step." The collection and analysis of data for evaluation are useless activities until you have established your goals and objectives. Without these you will not know what data to collect nor will you know what meaning to attach to it.

Both Tyler (1949) and Drucker (1977) expressed the need for evaluation information. References to "the use of measures of pupil achievement" (Edmonds, 1982), "feedback" (Squires, Huitt and Segars, 1983) and "frequent monitoring and reinforcing of pupil progress" (Gorton, 1983) are found in the literature on effective schools. Measuring the accomplishment of identified outcomes is the second step of our system for increasing your effectiveness and the effectiveness of your school.

What Data And How To Collect It?

We have consistently emphasized that the decision regarding the domains and the content of your goals and objectives are yours to make. We have suggested that the cognitive domain in a single content

area is a good place to begin. Additionally, we advocate the involvement of diverse groups in the development and ratification of the school's goals and objectives. Our only insistence is that they be clearly identified. This identification of the prioritized outcomes for your school form the framework for selecting data to collect and for attaching meaning to those data once collected.

Rowan (1985) maintained that no one knows the best ways to measure the effectiveness of a school. Therefore, he suggested that any school effectiveness assessment be undertaken in a "spirit of inquiry." The literature on effective schools research has already begun to question the appropriateness of the effectiveness definitions used in these studies. Criticism of the narrowness of the definition of effectiveness is increasing.

In the system we propose here, you and those you involve create your own definition of effectiveness by doing two things. First, you identify and prioritize specific measurable educational outcomes desired for your school. Second, you demonstrate empirically the extent to which those prioritized outcomes have been achieved and you do this within a specific time schedule.

In accord with Rowan's "spirit of inquiry" our system provides a great deal of opportunity for you and those involved in your school to be creative in both the definition of what is effectiveness and the tools you will use to measure it. We would in fact encourage you to use multiple indicators in your effectiveness assessment process. Data collection and interpretation is the only way we know to truly

answer the question, "Am I effective?" What information you will collect, how you will collect it, and the interpretation of the information collected are decisions you must make. We cannot (will not) dictate this process to you. The process should be unique to you and your school publics. We do, however, suggest the following guidelines for your use in setting up your assessment process:

Always use your specific measurable educational outcomes as your decision-making template for data collection and interpretation.

A primary purpose of the identification of these outcomes is to provide direction to you and your school publics regarding what results/effects you are seeking to accomplish. The specification of these outcomes should guide you in knowing what data to collect and what it means once it is collected. Well written outcome statements include an indication of what must be done and under what conditions. If arithmetic is a priority area, data collection procedures should be identified. If they are cognitive outcomes, tests may be most appropriate. If the outcomes are affective, surveys, attitude scales and anecdotal records may be among the data gathering techniques used. The most important point is that the "what" and "how" of data collection should directly align with the outcomes developed.

Performance standards must be identified in order to make collected data meaningful.

In most schools a great deal of data are collected daily, weekly, monthly and yearly. These data often are collected for a number of reasons other than assessing the effectiveness of the school. However, because they are collected for other reasons does not preclude their use for measuring the accomplishment of your identified outcomes. Information such as student attendance, discipline records, number of parent conferences held, number of individuals attending PTA/PTO meetings, records regarding the use of the library and the number and kinds of books checked out, kinds and amounts of teaching materials ordered and used are examples of information that you may already be collecting for other reasons but could use in assessing the achievement of some of your identified outcomes. For example, some of these data might be used to assist with the assessment of outcomes dealing with increased parent-teacher interactions, children's appreciation of literature, or the use of an inquiry approach to science. Also, in most schools, annual standardized testing is a way of life. Most classroom teachers administer teacher-made tests or create culminating projects and activities for children to demonstrate the learning of concepts taught. Also, many companies now publish (and schools purchase) criterion-referenced materials to accompany their textbooks. Check to see if some or all of these kinds of data are being collected in your school. Many of them yield useful information regarding the accomplishment of your identified outcomes. Spend time comparing the kinds of data you already collect with the outcomes you have identified. Once you know what you already have

that is useful, you can then begin to identify the kinds of data that are still needed. However, you will avoid redundancy and the use of precious time to collect information you already have.

Develop some kind of system for recording the data you collect.

Creating an audit trail for your accomplishments will be important. Depending on the distance between your desired outcomes and your current accomplishments level, your effort toward increased effectiveness may involve a long-term change effort. Recording the data you collect will provide written documentation of progress toward your desired level of effectiveness. Additionally, it will save reliance on memory to reconstruct where you've been and where you are going. Finally, it provides a concrete answer to the effectiveness questions whether asked by internal or external publics. Documentation is an important component of the feedback loop for increasing effectiveness.

Collect both formative and summative data.

Your identified outcomes represent the ultimate performance for your effectiveness. Coming to the end of the school year, collecting data, and judging whether or not the objectives were achieved is something that truly effective elementary principals would *not* do. They know long before the end of the year what

accomplishments are likely to be achieved. Throughout the year, they have collected and interpreted data. They have used these data to develop an improvement plan and to modify the implementation of that plan throughout the school year. Effective elementary principals know what is to be accomplished by the end of the school year, but they also know the degree of movement toward those outcomes at various points during the year. Effective elementary principals would never let an entire year pass without formative data to guide their activities and the activities of others. They do this by not only establishing data collection procedures for summative purposes, but also for formative purposes. They know their final destination and they use mile-markers to determine their progress toward arrival.

The Third Step: Getting There—The Means

Steps one and two in our system for increased effectiveness are product or results oriented. To be effective is to produce or bring about a desired result or effect. Step one specifies the desired result; step two identifies how you will know the results were achieved. Both of these deal with ends—the ones you want and the ones you get. Step three, on the other hand, deals with means or processes. Through steps one and two you have created your definition of effectiveness. Now it is time for you and everyone in the school to go about doing things that will lead to the desired results.

You might imagine step one and step two as the goal posts at either end of a football field. One post

represents desired outcomes of "what"; the other represents evaluation data or the "accomplishments." Step three is the "how" of this. It is represented in this image as the space in between the two goal posts—the field.

Step three provides the greatest opportunity for creativity and decision-making at the classroom level. With steps one and three in place, you and those you have involved in the creation of this definition of effectiveness have developed the empowerment base for the professionals who work directly with children in the school. They know and have ratified the desired outcomes for the school. They have assisted with the development of data collection procedures and the establishment of standards of performance. Now the "pro" in professional can be emphasized by allowing the faculty the opportunity to select and implement the best materials and experiences for helping children to achieve the identified outcomes.

Return for a moment to the image of the goal posts and the football field. The task is to move from the definition of outcomes (one goal post) to their accomplishment (the other goal post). The means for getting from one to the other are varied.

In a football game there are all kinds of plays, offensive strategies, special teams to assist with tricky or difficult situations. There are ground games and there are passing games. The strategies are varied depending on the successes they accrue. Players know through the frequent feedback regarding yards gained and downs made if they are making progress toward the

goal. If something is working—accomplishing the intended results—the team stays with it. If no progress is being made, one strategy is abandoned and another selected. Coaches don't play the game. They watch; they give feedback; they help to solve problems and analyze situations.Throughout the season, they conduct practices to refine the current skills and introduce new techniques that will help players during the game. Generally, decisions regarding what to do and how to do it are made on the field by the players. When things don't go well after repeated attempts by the players, coaches become more directive and call in the plays for the team. But, for the most part, strategy is left to those individuals actually playing the game.

Similarly, in schools, it is at this third step that the effective school principal becomes the coach, consultant, and collaborator. With the job defined, the effective principal gets out of the way and empowers the professional faculty to do what they know best—teach children. Principals are still there as monitors, to assist in problem-solving, to provide resources and psychological support, but not to dictate. Effective principals don't make every decision in every classroom. They leave the selecting of the best way to get things done to the teachers. They have confidence that teachers make instructional strategy decisions based on two things: 1) what helps students learn, and 2) what is most comfortable for them to use. Effective principals won't demand that teachers change means unless ends are not being achieved. On the other hand, if ends are not being achieved, the effective elementary principal will

not hesitate to intervene. Intervention though is always problem-focused. Effective principals demand change as a means of solving problems, not for its own sake.

Summary

For increasing your effectiveness and the effectiveness of your school, we have proposed a three step process:

1. Identify educational outcomes,

2. Identify ways to measure the accomplishment of these outcomes,

3. Monitor processes used to accomplish the identified outcomes.

We believe the sequence of these steps is essential. We assert that effective elementary principals know that monitoring processes without knowing the intended outcomes is a useless activity. Effective elementary principals do not confuse "means" and "ends." They take an initiating role in the identification of the latter and a supportive coaching role in selecting and implementing the former. Through their leadership in the definition of ends, a framework for evaluating effectiveness is built.

With steps one and two in place, the school publics are empowered to "get the job done." Everyone knows what the job is and how they will know when it is

accomplished. *Everyone involved with the school* now has a blueprint for accountability.

Gorton's (1983) position regarding the "who" in accountability for the achievement of educational objectives is inclusive of "educators, students, parents, governmental agencies and the general public" (p. 37). In this same spirit, the following "Code" was established to make clear to all publics their responsibilities in the schooling process.

OUR CODE OF ACCOUNTABILITY

AT OUR SCHOOL:

...The *PRINCIPAL* is accountable to the District Superintendent for the overall learning atmosphere provided by the school;

...The *TEACHER* is accountable to the Principal for providing *each* student a reasonable opportunity to learn;

...The *STUDENT* is accountable to his/her parents *and* teachers for *conscientiously* using the learning opportunities provided;

...The *PARENTS* are accountable to the Principal and Teachers for supporting and fostering *at home* the educational opportunities presented by the school.

FINALLY,

THE *COMMUNITY* IS ACCOUNTABLE TO ITS OWN FUTURE FOR ENCOURAGING, SUPPORTING AND ASSISTING ITS SCHOOL IN PROVIDING THE BEST EDUCATIONAL PROGRAM POSSIBLE FOR *ALL* ITS YOUTH.

Developed by I. Emett Burnett, Jr., Principal and ratified by the teachers, students and parents of William O. Rogers Elementary School, New Orleans, Louisiana, 1974-76.

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Chapter Six
Empowerment For Effectiveness

The effective elementary school principal values empowerment of both others and self. He/she views the concept of empowerment as reciprocal; that is, empowering others and allowing others to empower him/her.

In this chapter, we discuss the meaning of empowerment. We also discuss the meaning of empowerment by focusing on three major groups with which the elementary principal deals in the operation of the school—teachers, parents, and central office supervisors. We present some possibilities for viewing groups as both recipients of empowerment from the principal and empowerers of the principal. Finally, we devote some time to the notion of the principal's empowerment of self. Self-empowerment can increase the principal's effectiveness and thereby benefit others in the school environment.

What "Empowerment" Is and Is Not

"Empowerment" is a term getting a lot of attention in education literature today. There has been a steady

increase in the use of the word "empowerment" by educators during the last four or five years. Recently, it has become rare for a conversation of any length between two educators not to include some reference to empowerment. Aside from its unfortunate use as a catch-word, what does "empowerment" really mean?

The dictionary gives the term "enable" as a synonym for the verb "empower" (Webster, 1971, p. 271). "Enable" is defined as follows:

> "en.able /in-a-bel/ vt en.abling/-b(e)linj/ la: to make able<^a person to earn a living> b: to make possible, practical, or easy. 2: to give legal power, capacity, or sanction to
>
> syn ENABLE, EMPOWER means to make one able to do something. ENABLE implies provision of the means or opportunity for doing; EMPOWER implies the granting of power or delegation of authority to do" (Webster, 1971, p. 272)

Interestingly, in reviewing some of the recent writings that refer to empowerment, authors sometimes spend as much time describing what empowerment isn't as in telling what it *is*. For instance, Bennis and Nanus (1985) assert that empowering others does not mean that the leader's power is relinquished; nor does it mean that followers, through empowerment, will constantly be challenging authority. Likewise, DuFour and Eaker

(1987) say that "Empowerment is not simply turning people loose and hoping for the best" (p. 89). And, Maeroff (1988) wrote that "empowering teachers need not mean that principals cease to be in charge..." (p. 475). In fact, Andrews (cited in Brandt, 1987) maintains that principals who merely back off and declare to their teachers that they have a free rein are not providing leadership, but are, in fact, creating a leadership vacuum which teachers have to fill.

If empowerment isn't relinquishing power or simply turning people loose, or ceasing to be in charge, then, what is it? DuFour and Eaker (1987) defined empowerment as "the opportunity to act upon one's ideas" (p. 85). In *The Renewal Factor: How the Best Get and Keep the Competitive Edge,* Robert Waterman (1987) identified "direction and empowerment" as themes common to the "renewers" in his study. These renewing companies viewed *everyone* in the organization as a "source of creative input" (p. 7).

In discussing management techniques employed in especially successful companies Gilbert (1988) made the point that the exceptional performance of these companies came not from who was employed so much as from what was done with the manpower available. One example expressed by the director of human resources in one of these companies—..."we go to great lengths to get across the idea that 'everyone' is responsible for our success—..." (Gilbert, 1988, p. 27).—supports the empowerment assertion that we are making here.

Increasing Effectiveness Through Empowerment

One method that principals can use to increase their effectiveness is the empowerment of others. Although this may sound as if it puts the burden of action on the principal, we have chosen to view it as an investment. By empowering others, the principal is investing time and energy in developing the talents and expertise of others. This is truly an investment. Like all good investments, one can expect a return. The return in this instance involves commitment, concern, and motivation from a variety of people essential to the success of the school. Empowering staff, students and community will return to the effective principal a support system for future growth and development.

According to DuFour and Eaker (1987) the empowerment of others requires that two conditions be created by the principal or supervisor, First, they suggest that the principal or supervisor must be willing to delegate authority. A similar condition is indicated in the definition introducing the chapter. Second, DuFour and Eaker assert that principals or supervisors must redefine their own role from one of *giving orders* to one of serving as a *"developer" of others.* Maeroff (1988) saw this role redefinition as one in which "...principals engage in more consultation and collaboration" (p. 475).

Similarly, Waterman (1987) identified direction and empowerment as two components which "renewing" companies used in tapping the creative input of their employees. "Direction" was defined as boundaries set by the managers. "Empowerment" surfaced in the

managers' willingness to allow and acknowledge that the people within the company know the best way to do the job within the boundaries set.

Although he does not use the word "empowerment," Drucker refers to the essence of this behavior. In an interview session with William Dowling (1971), Drucker discussed the benefits of allowing the people who do the job to work out the optimal pattern for getting it done. He referred to the worker as "being the expert on his job" (p. 225).

The second way to increase effectiveness is to allow others to empower you. That is, the effective principal will look at the exisiting environment and see opportunities to gain empowerment for him or herself and therefore ultimately the school. The same groups that are empowered by the principal can empower the principal. By increasing the effectiveness of others, the capability for effectiveness of the principal is also increased.

Empowerment of and from Teachers

In their report on effectively managed schools, Bacharach and Conely (1986) noted that research points to increased effectiveness in schools that "maximize" the coordination of programs and increase the discretion of individual teachers" (p. 642). A key to this is the principal of the school. However, rather than this strength coming from the traditional top-down management flow, these principals encourage participation in decision-making, reduce status

differences between themselves and their teachers, and shun "dictating solutions to problems" (Bacharach and Conley, 1986).

The "pay-off" for this investment comes in the form of the teachers' positive responses to the value of coordinated efforts in school programs and activities. This in turn brings them from their traditional isolated, independent agent's role into one of contributing strategist in the management of the school (Bacharach and Conley, 1986).

These concepts presented by Bacharach and Conley (1986) connect with two of Drucker's (1977) five basic operations of the manager's work—"motivates and communicates" and "develops people." Managers implement techniques that result in individuals responsible for various parts of the organization functioning as a "team." Additionally, they focus on developing the strengths of the individuals in the organization.

Teachers can also be a *source* of empowerment for the effective elementary principal. In fact, according to Glickman (1987), "No principals are likely to bring improvement about unilaterally, but it is their responsibility to be sure that it occurs" (p. 2). Glickman suggests accomplishing this in the following way: "The secret to success in improving instruction is for principals to identify what they realistically can or cannot do themselves and then to find people who can fill in the gaps and take instructional leadership roles" (p. 2).

With their organizational perspective, principals are in a position to provide coordination for school

programs and activities. They are in a position to see how each of the parts fit together to form the whole. Additionally, they command the resources to ensure that there is increased interactions between and among the teachers. Through their collaborative efforts to solve individual problems they gather information that will be helpful in solving organizational problems. They are in a position to identify the strengths of individual teachers, to nurture and build upon those, and to employ those strengths to aid in strengthening others.

As principals enable and empower teachers, effectiveness is increased. As the effectiveness of teachers is increased, the school is enabled and empowered to become even more effective. The principal serves as "gate-keeper" for this synergistic process. In Chapter 5 we presented a three step process for increasing effectiveness. Steps one and two were definitional. Teacher involvement was encouraged. We believe that the framework for effectiveness which the completion of these two steps provides is analgous to the "direction" to which Waterman refers. With this framework established, the reciprocal elements of empowerment are not only employable but essential.

Empowering Parents

> "By the end of the eighth grade, a child has typically spent 9,000 hours in school—but 95,000 hours outside school...So long as we view education as something that happens between 8:30 a.m. and 2:20 p.m. inside

> the doors of a big red brick building, we lose sight of the basic truth that 'elementary education' is more than 'elementary school'" (Bennett, 1986, p. 127).

Effective elementary school principals recognize that education encompasses more than schooling. Additionally, they realize that if the schooling aspect of education is to succeed, effective use of resources outside the school will be essential. Probably the most powerful external resource for the school is the parent. Empowering parents can assist principals and teachers in succeeding in the accomplishment of the school's objectives. Not to empower them in this mission is to exclude the major constant in the life of the child.

A parade of teachers and administrators will move in and out of the structured environment of the child's school career. In all but the smallest elementary schools, he/she will typically have one teacher for every grade level. In departmentalized elementary schools, and as the student moves on to middle/junior high school and finally into high school, the number of teachers will multiply as subject divisions occur. So even though the school attended may remain stable (which of course is not always the case) the key players will rotate.

Even in this time of increased divorce rates, parents are still the most consistent element in the child's life, and therefore can provide a constant thread of school support from grade level to grade level and subject to subject that the school simply cannot.

Helping parents to understand and utilize this constant influence in asssisting their children succeed in school specifically and education generally will go a long way in moving the school toward an increased level of effectiveness.

Brookover, et al (1982) observed that generally no one in the school is responsible for developing parent support for education. Because no one is in charge, nothing much happens with this valuable resource. They went on to state that the ideal person to accept the leadership responsibility for organizing parental support is the principal.

As pointed out in Chapter 4, principals, in their instructional leadership role, have a unique view of the school. They are in a position to meld the school support and parent support for the accomplishment of the defined outcomes of the school. They are in a position to coordinate home and school efforts to convert some of those 95,000 hours children spend outside the school into hours that support the 9,000 hours spent in the school. They can do this by assuring that parents are empowered to support the school objectives.

Brickell (1984) maintained that most school district policies were developed on the following four assumptions:

1. that parents don't want detail about what their children are being taught;

2. that they (parents) can't understand what the children are being taught;

3. that they will be inept in teaching their children and thus confuse them;

4. and, if the children fail to learn, the parents will attack the schools. (p. 58)

Brookover, et al (1982) gave reinforcement to Brickell's assertions in noting that the reason parent involvement is low in some schools is because such involvement is not valued by the staff and that in essence the school staff lacks confidence in the parents.

Brickell (1984) went on to state that these assumptions are untrue. He alleged that in fact that most parents *do want* to know what their children are being taught; that they will understand what they are being taught; that when they do try to teach their children, they will do so in a sensible way; and that if the children fail to learn they will accept a share of the blame.

Similarly, Brookover, et al (1982) observed that schools are frequently not clear with parents on how they might best assist in increasing the child's achievement. Schools do not communicate to parents the expectation that they are to support the instructional efforts of the school and the school program. Accomplishing this empowerment will be very dependent on first making the educational outcomes of the school clear. It will be difficult, if not impossible, to request that parents demonstrate support for school outcomes if the school is unable to articulate these outcomes. In empowering teachers, we discussed the importance of setting boundaries and/or providing

direction. Once the boundaries/directions are defined, the time and energies of all members of the organization can be focused on how best to accomplish the desired outcomes. Similarly, the same boundary/direction requirement is essential in empowering parents. Again, we assert that steps one and two of the effectiveness process are essential to empowering the school publics. Hostrop (1989) noted in his study of 79 elementary schools cited as exemplary by the U.S. Office of Education in the 1985-86 school year that such schools significantly involved parents in the educational process.

Central as a Source of Empowerment

A final suggestion for principals seeking sources of empowerment is the central office of the school district. The superintendency can be a powerful source of empowerment for principals seeking to increase their effectiveness. Through the actions of the Board of Education, the superintendent and other central office personnel, a number of environmental conditions and support elements can be created that will strengthen the principal's efforts.

Cruz (1985) noted that the quality of the processes for effectiveness at the school level can either be supported and enhanced or neglected and diminished by the financial, instructional and personnel assistance from the district.

Ideally, the central office in a school district would take a proactive role in promoting increased effectiveness of the elementary principals in the district.

According to Cruz (1985) six factors are important for the superintendent to demonstrate an active role as an instructional leader to his/her principals:

"1. establishing distinct goals in curriculum and instruction,

2. proposing board policies which support the goals of school effectiveness,

3. decentralizing responsibility for school effectiveness,

4. establishing a format to discuss important instructional issues,

5. recognizing principals and teachers exemplary instructional programs, and

6. keeping the instructional program at the forefront of the district's community education program."

(Cruz, 1985, p. 14)

In describing the system used in Connecticut to assist schools to become more effective, Shoemaker (no date) asserts that in order for schools to thrive in their work toward increased effectiveness there needs to be a symbiotic relationship between the individual schools and the district office. She talks of the district office as

providing a framework for effectiveness through coordinated "curriculum revision, designs for more effective instruction, improved evaluation for students and teachers and staff development programs" (p. 5). She identified six categories for district office involvement in school effectiveness efforts: initiating, planning, conferring legitimacy, implementing, evaluating and sustaining effort. Shoemaker stated that, "Education is most effective where district administrators provide leadership, principals and teachers provide school-based direction and the classroom provides the focus" (p. 8).

Technical assistance is one of the key areas in which the central office can empower the principal. In steps one and two of our effectiveness process, the technical and content specialists at the district level can provide expertise in the development of outcome statements and in the selection of data collection techniques. Additionally, these technical and content specialists can be very helpful in the planning and implementing individual and group professional development programs. It is up to the principal to utilize the resources that exist at the district level to enhance the effectiveness of his/her school.

Empowerment of Self

"Principals interested in becoming effective instructional leaders must find time to update themselves on current content, and organizational and methodological trends (Keefe, 1987 p. 50). According to

Barth (1986), "The more crucial role of the principal is as head 'learner'....That a principal is learning something is far more important to the school than any list of 'what' a principal should know" (p. 296).

Bennis and Nanus (1985) discuss empowerment of self under the rubric of "Deployment of Self." They declare that "Leaders are perpetual learners" (p. 188). They maintain that learning provides the "fuel" for leadership, and that it is through this constant search for "new understanding, new ideas, and new challenges" that the organization is focused. Based on the leaders in their study, modeling of the learning behavior is important. The leader serves as an effective learner model and thus provides opportunity for emulation from others in the organization. Three elements of positive self-regard were described: 1) knowledge of one's strengths, 2) the capacity to nurture and develop those strengths, and 3) the ability to discern the fit between one's strengths and weaknesses and the organization's needs.

We believe that effective elementary principals are continuing students of their profession. Even in the crowded schedules, the distracting events and the continual pressures of the school, effective elementary principals find time— make time for their continued learning. They learn from experience (theirs and others), they seek out the new knowledge developed in their field, and they associate themselves with professional organizations.

Related to empowerment of self is what Hayes (1978) called "executive boredom." To avoid this

situation, Hayes recommended that managers 1) pay attention to their ability to learn from others, 2) do long-term planning regarding their knowledge and skills, 3) have a focus for their self-development, and 4) start their development early and be sure that it is continuous. He went on to note that managers who avoid boredom are those who are able to develop a vision of their organizations and what they can become. Their commitment to this vision is a source of enthusiasm and excitement that keeps them focused on the development of themselves along with the development of the organization as a whole and those who people it.

Empowerment of self moves the principal beyond the influence that is contingent on his/her position to an influence that comes from a base of expertise. Knezevich (1984) referred to this as "technical authority." He noted that technical authority has to be earned based on the special knowledge and skills possessed by the individual. Effective elementary principals will continually seek to maintain their technical authority.

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Chapter Seven
Mnemonics For Effectiveness

Introduction

For many of our readers this chapter will merely be a reinforcement for the strategies they have already formulated throughout the reading of this book. For others, it will serve as the "Oh, I see what you mean!" catalyst.

Our intent here is to present a conversion of what has been stated throughout the other chapters. In this case however, we have created some brief, easy to remember phrases that we believe capture the essence of some of the concepts presented. They will probably be confusing to anyone reading only this chapter. However, we believe for those who have read the book, these phrases will serve as mnemonic devices for much of the information presented.

Effective Elementary School Principals: Separate the Possible from the Impossible and Deal with Each Appropriately.

Effective elementary principals and those seeking to increase their effectiveness will focus on what can be changed and will not dwell on things they cannot change.

Practice What They Preach

Effective elementary principals don't merely tell others what to do, they demonstrate it through their own behavior. They serve as the role model for the behaviors they espouse.

Leaders Are Not Wanderers

Leaders know where they are going. They have specific directions and they accept the challenges and responsibilities for guiding others. A wanderer has no destination or purpose; he/she moves about aimlessly.

See Four Ounces in an Eight Ounce Glass and Announce There is Room for Four More Ounces

Effective elementary principals will view a glass as half full, not half empty. They will see possibilities where others see problems. They will see room for improvement where others will see only emptiness.

Are Productive, Not Just Busy

Effective elementary principals have no more hours in their days and weeks than anyone else. Because they know that time and energy are limited resources, they are purposeful in how they spend them.

Know Their Place

Effective elementary principals know that schooling is only one point on the continuum of learning. Additionally they recognize that the elementary school is only one point on the K-12 continuum of schooling. Realizing that much learning has gone on before children come to school and that much will go on after they leave the elementary school assists the elementary principal in perceiving his/her job as part of a process, not an end in itself.

Are Continuing Students of Their Trade

Effective elementary principals will be the most eager learners in the school. They never think they know enough. They will always be willing to learn from others, both inside and outside the school.

Know the Total School is Greater Than the Sum of Its Separate Parts

Effective elementary principals remember that the *synergistic effect* of people *working together* typically yields a product *greater* than would result if *each* pursued his/her own goals independently. Effective elementary principals understand this maxim and govern their actions by it.

See Some Issues and Activities as "Central"

Effective elementary principals value the support, guidance and empowerment that the central office of the school district can contribute to the school improvement process.

Know that Nothing is More Unequal Than the Equal Treatment of Unequals

Although basic rules and procedures must be established, the effective elementary principal allows sufficient flexibility to apply those rules and procedures equitably but with sufficient human concern for the particular circumstances of each case.

Know That Change is for Problem-Solving, Not for Its Own Sake

Effective elementary principals know the difference between *needed* change and mere faddish innovations. They realize that unneeded or inappropriate change can wreck the essential stability of an existing successful program. Simultaneously, they know the value of planned change as a successful problem-solving process.

Have Vision and Visibility

Effective elementary principals have a strong sense of purpose about their schools and what they

could and should be. In addition to their vision and sense of mission, effective principals are visible in the classrooms, hallways, etc. of their buildings.

Know How Things are Going and Have the "Know-How" to Keep Things Going

Effective elementary principals do frequent monitoring of student progress toward the identified outcomes. They also serve as the instructional leaders of their school. They use their instructional expertise to support and guide their teachers in delivering the most effective learning environment possible.